

ARIZONA DEPARTMENT OF TRANSPORTATION

Handbook and Application

Section 5310

Elderly Individuals & Individuals with Disabilities
Transportation Program



Arizona Department of Transportation
Public Transportation Division
206 South 17th Avenue, Mail Drop 340B
Phoenix, AZ 85007

January 2006

Table of Contents

	PAGE
PART I. INTRODUCTION	1
A. FORWARD	1
B. USING THIS HANDBOOK	2
C. PROVIDING TRANSPORTATION SERVICES FOR THE ELDERLY AND DISABLED	3
D. CONTACT INFORMATION.....	6
E. 2005 – 2006 PROGRAM UPDATE	8
PART II. PROGRAM DESCRIPTION.....	11
A. OVERVIEW	11
B. PROGRAM GOALS	11
C. APPLICANT ELIGIBILITY AND USE OF VEHICLES	12
D. APPLICANT RESPONSIBILITIES	14
E. APPLICATION PROCESS	16
F. FUNDING OF LOCAL TRANSIT SERVICES	20
PART III. STATE PROGRAM ADMINISTRATION	25
A. OVERALL PROGRAM MANAGEMENT.....	25
B. STATE PLANNING AND COORDINATION	26
C. VEHICLE PROCUREMENT PROCESS	26
D. CONTRACTING, VEHICLE TITLE AND LIEN.....	27
E. VEHICLE INVENTORY MANAGEMENT	27
F. PROJECT MONITORING – GRANTEE REVIEW.....	27
G. STATE FINANCIAL MANAGEMENT	28
PART IV. FEDERAL AND STATE REQUIREMENTS	29
FEDERAL PROGRAM REQUIREMENTS	29
A. PUBLIC INVOLVEMENT	29
B. SCHOOL BUS REQUIREMENTS	30
C. LOBBYING	30
D. CIVIL RIGHTS.....	31
STATE PROGRAM REQUIREMENTS.....	34
A. ADMINISTRATIVE REQUIREMENTS	34
B. VEHICLE OPERATIONS REQUIREMENTS	36
C. DRUG-FREE WORKPLACE PROGRAM	37
D. VEHICLE OWNERSHIP REQUIREMENTS.....	38
PART V. PROJECT APPLICATION.....	41
A. GENERAL INSTRUCTIONS	41
B. APPLICATION PACKAGE.....	45
APPENDIX A FEDERAL PROGRAM MANAGEMENT REFERENCES	



PART I. INTRODUCTION

A. Forward

The Public Transportation Division (PTD) of the Arizona Department of Transportation (ADOT) administers the Federal Transit Administration (FTA) Elderly Individuals and Individuals with Disabilities Transportation Program, commonly known as the Section 5310 Program. This program provides funds for purchasing vehicles to be used in public transportation programs that primarily serve individuals who are over age 60 or persons of any age that have disabilities.

This handbook is intended to inform the reader about the Section 5310 Program. It includes information on:

- The goals of the program
- How the program is administered
- Who is eligible for the program and expectations of applicants
- How to apply for funding
- Responsibilities of program participants
- Support and resources available to program participants

This handbook contains information for existing and potential participants to use in applying for grants for vehicles and/or related equipment. A thorough reading of the Handbook will provide information needed to understand what is required of applicants, the responsibilities your agency will be assuming if selected as a grantee, and the expectations of each program participant.

B. Using This Handbook

This handbook contains information you will need to apply for equipment through the Section 5310 Program. It also is a reference for you to use in monitoring, administering, and working with the Public Transportation Division over the course of the year. It is divided into five parts:

I. Introduction	Key information on how to obtain information and apply for funding
II. Program Description	Detailed information on the program, what the funds can be used for, and responsibilities of the agency receiving funds
III. Program Administration	ADOT's role and responsibilities
IV. Federal and State Requirements	Detailed information on program requirements, including on-going reports and monitoring
V. Application Forms	Application for vehicle and related equipment

Along with this handbook and application package, regional workshops are held annually for all regions to provide an opportunity to answer specific questions on the application process and to provide more detailed information on changes in the program. Regional Councils of Governments (COGs) and Metropolitan Planning Organizations (MPOs) assist ADOT in the Section 5310 program. Part I Section E of this handbook shows the approximate schedule of events for this year's grant application cycle.

To receive an application and check on the workshop dates and application deadlines for your region, please use the Regional Program Contact list in this section for staff contacts, addresses and phone numbers of your local COG or MPO. You may also access the information from the website at <http://www.azdot.gov/ptd/index.asp>.

Councils of Government may also provide help to applicants in obtaining data and maps, coordinating with other agencies, and insuring public involvement. The ADOT contact is also pleased to provide information on the program.

A thorough reading of the handbook will provide information you will need to understand what is required of applicants, the responsibilities your agency will be assuming if selected as a grantee, and the expectations of each program participant. Existing applicants need to pay special attention to the *Update* portion of this introductory section as it identifies changes in the program that have occurred since the last application cycle. This will identify areas of the handbook where more detailed attention will be needed in preparing this years application.

C. Providing Transportation Services for the Elderly and Disabled

The Section 5310 Program provides valuable assistance to organizations providing public transportation services for the special needs of elderly individuals and individuals with disabilities. This program provides capital equipment such as vehicles and communications equipment to private non-profit agencies, Tribal governments and related Tribal community agencies. Public agencies are also eligible for funds when there is no private non-profit agency able and willing to provide the service, when serving as an agency approved by ADOT Public Transportation Division to coordinate services for individuals who are elderly or have disabilities, or when they are determined by ADOT to best serve the coordination needs of a community or region.

Coordination is a key to providing strong and effective transportation networks in communities, both for the elderly and disabled, and for the community as a whole. A comprehensive approach to planning and managing transit services will enable communities to identify how coordination would permit them to make the best use of their resources and strengthen their programs. The Public Transportation Division is amplifying its focus on coordination to reflect the changing Federal emphasis. Applicants for funding under this program will be expected to participate in efforts to foster coordination among human service transportation programs, and between these programs and public transportation providers.

There are several related Federal initiatives and programs being developed to assist entities in meeting their community mobility needs. Some of these programs are new and details on how they will be implemented in Arizona are not yet available. However, they provide more reasons for the community to build a coalition of human service, business, and other stakeholders to develop a strong transportation system. Together these programs and initiatives can provide your agency with a variety of ways to meet mobility needs of the elderly and disabled. Programs providing general transit service may serve portions of the elderly and disabled community more efficiently than specialized services, for instance. An examination of your mobility needs will indicate which programs in addition to the 5310 Program are most appropriate to help meet your objectives.

Arizona Rides: Arizona's new initiative to coordinate human service transportation and public transit services, in accordance with the Federal *United We Ride* initiative. This program will provide support to assist 5310 providers to better coordinate with other human service agencies and general public transit operators. Governor Janet Napolitano issued an Executive Order 2005-16 formalizing this initiative and creating the *Arizona Rides Council*. A parallel project in support of the statewide effort is *Pinal Rides*, a demonstration project designed to showcase coordination in at the local level.

New Freedom Initiative:	This initiative was established in 2001 through a Presidential Executive Order as a means to integrate persons with disabilities into the workforce and into daily community life through a variety of strategies carried out by several Federal departments. The recently enacted highway and transit bill includes funding for transportation services under this initiative. This funding is to be used to provide services above and beyond what is required by the Americans with Disabilities Act, especially to help persons with disabilities access jobs and employment-related services.
Governor's Aging 2020 Plan:	This is supported by State Executive Order 2004-07 issued by Governor Napolitano directing all State agencies to work together to address the senior population boom and associated transportation needs. The Section 5310 Program is supportive of the Governor's Executive Order and will continue to provide opportunities for improving transportation for the elderly community in Arizona.
Section 5311:	ADOT administers the FTA Rural Public Transit Program. This program provides funds for public transportation projects and intercity bus projects serving rural areas. Section 5311 grants are intended to provide access to the general public for all trip purposes, as opposed to the Section 5310 program, which focuses resources on individuals who are elderly or have disabilities. In addition to its general public service, all Section 5311 operators with fixed routes are required to provide "complementary" accessible transit services and equivalent paratransit services for the disabled. Coordination between Section 5310 and 5311 programs is highly encouraged.
Section 5307:	Section 5307 is the FTA program funding urban transit programs. These funds go directly to the five Metropolitan Planning Areas (MPOs) in Arizona for redistribution to transit operators. Generally, these programs are locally administered by the largest city in the region or the Metropolitan Planning Organization.
Planning	ADOT administers a program to provide assistance to local entities for initial transit planning activities or plans for growing and changing transit systems. Urban area planning funds (Section 5303) are administered through MPOs, while rural planning (Section 5313) is directly administered by ADOT.
Jobs Access and Reverse Commute:	This program, often known by the acronym JARC, focuses on employment transportation. The highway and transit bill enacted in 2005 makes this a formula program available to all parts of the State. ¹ As with all public transit programs, service must be fully accessible.

¹ It is anticipated this program will be administered by ADOT but it will not be implemented by ADOT until regulatory guidance is developed by the Federal Transit Administration.

Indian Reservation Road Funds: These funds, also known as IRR funds, can be used for highway and transit purposes.

Surface Transportation Program (STP): The State Transportation Board has made STP flexible funding available for transit projects. The federal highway legislation authorizes STP funding to be “flexed” from highway to transit usage. This funding augments the Section 5310 and 5311 programs.

The ADOT Public Transportation Division will continue to take a leadership role in coordinating transportation resources for employment services, for people with disabilities, and for seniors. As regulatory guidance on the new programs is available, the Division will work with Metropolitan Planning Organizations, Councils of Governments and transit providers to implement these programs at the local level.

ADOT encourages transportation providers to work with their local JOBS program, Department of Economic Security programs, (Area Agencies on Aging, Temporary Assistance to Needy Families, etc.) and other human service organizations to coordinate local and regional transportation activities.

D. Contact Information

For inquiries regarding the Section 5310 Program

ARIZONA DEPARTMENT OF TRANSPORTATION / ADOT

Public Transportation Division

206 South 17th Avenue, Mail Drop 340-B

Phoenix, Arizona 85007

Gregg Kiely, Program Manager

TELEPHONE: (602) 712-6736

FACSIMILE: (602) 712-3046

E-mail: gkiely@azdot.gov

Loretta Crimi, Program Specialist

TELEPHONE: (602) 712-7106

FACSIMILE: (602) 712-3046

E-mail: lcrimi@azdot.gov

Web Site

A dedicated ADOT Public Transportation Division website on the Internet can be accessed through the ADOT home page at <http://www.azdot.gov/ptd/>. At this address, readers will find a variety of resources. The website provides valuable resources for parties interested in learning more about ADOT's public transportation programs and is a primary resource for the Section 5310 program.

This Handbook is available on the website along with information on related programs and initiatives. The website provides numerous links to other useful web sites, including the U.S. DOT/FTA web sites. Recipients should periodically check this web site for Section 5310 and other ADOT Transit Program updates.

Civil Rights Administrator

For more detailed information pertaining to the civil rights or disadvantaged business enterprise section of the application, you may also contact:

Civil Rights Administrator, Lisa Wormington

Arizona Department of Transportation / Civil Rights Office

1739 W. Jackson, Room 127 Phoenix, AZ 85007

Phone: (602) 712-7761

E-Mail: LWormington@azdot.gov

Regional Program Contacts

Applicants for Elderly and Persons with Disabilities Program and those already participating in the Program may obtain application forms through their Council of Governments (COGs) or in urban areas, Metropolitan Planning Organizations (MPOs).

FLAGSTAFF METROPOLITAN PLANNING ORGANIZATION (FMPO)

211 West Aspen

Flagstaff, Arizona 86001

Dave Wessel

(520) 779-7685

FAX: (520) 779-7693

MARICOPA ASSOCIATION OF GOVERNMENT (MAG)

302 North 1st Avenue, Suite 300

Phoenix, Arizona 85003

Amy St. Peter

(602) 254-6300

FAX: (602) 254-6490

PIMA ASSOCIATION OF GOVERNMENTS (PAG)

177 North Church, Suite 405

Tucson, Arizona 85701

Cheri Campbell

(520) 792-1093

FAX: (520) 620-6981

NORTHERN ARIZONA COUNCIL OF GOVERNMENTS (NACOG)

119 East Aspen Avenue

Flagstaff, Arizona 86001

Chris Fetzer

(928) 774-1895

FAX: (928) 773-1135

WESTERN ARIZONA COUNCIL OF GOVERNMENTS (WACOG)

208 North 4th Street

Kingman, Arizona 86401

Dave Barber

(928) 753-6247

FAX: (928) 753-7038

CENTRAL ARIZONA ASSOCIATION OF GOVERNMENTS (CAAG)

271 Main Street

Superior, Arizona 85273

Bill Leister

(928) 253-7941

FAX: (928) 689-5020

SOUTHEASTERN ARIZONA GOVERNMENTS ORGANIZATION (SEAGO)

118 Arizona Street

Bisbee, Arizona 85603

Gene Weeks

(520) 432-5301

FAX: (520) 432-5858

CENTRAL YAVAPAI METROPOLITAN PLANNING ORGANIZATION (CYMPO)

7501 E. Civic Circle

Prescott Valley, AZ 86314

Jack Shambaugh

(928) 759-5516

FAX: (928) 759-5514

YUMA METROPOLITAN PLANNING ORGANIZATION (YMPO)

502 South Orange Ave

Yuma, Arizona 85364

Paul Melcher

(928) 783-8911

FAX: (928) 329-1674

E. 2005 – 2006 Program Update

Handbook Revision: The Section 5310 Transportation Program Handbook and Application have undergone a complete revision. Please pay careful attention to the updates and policy changes within these documents.

Funding Levels: With the passage of the highway and transit-funding bill, known as SAFETEA-LU, the funding levels for this program have increased. Traditional or “formula” Section 5310 funding is appropriated annually by Congress. Additional funds for the program may be available from the Surface Transportation Program (STP) in the form of “flexible funds”; the State Transportation Board authorizes these funds annually.

Coordination: The emphasis on coordination has been strengthened at the Federal level. The statewide initiative *Arizona Rides*, supported by the 2005 Governor’s Executive Order, is underway. A parallel demonstration project, *Pinal Rides*, seeks to showcase coordination at the local and regional level. Applicants should anticipate an appeal via this program and related state and regional initiatives for increased efforts on their part to coordinate public transportation and human service transportation networks. Opportunities to coordinate service and leverage funding include the Job Access & Reverse Commute (JARC) program and other employment focused programs such as Temporary Assistance to Needy Families (TANF), the latter administered by Arizona Department of Economic Security. Applicants for funding are required to participate in regional efforts to coordinate human service and public transportation services. At the State level, ADOT will begin by providing additional support for regional coordination activities. Additional information on *Arizona Rides* activities may be found on ADOT’s website at: http://www.azdot.gov/ptd/Az_Rides.asp

Eligible Applicants: Eligible recipients include governmental authorities that are approved by the State to coordinate services for elderly and disabled individuals. In 2006 ADOT will consider requests from those agencies interested in coordinating services and determine how they would substantiate the agency’s role in coordinating transportation services for the elderly and persons with disabilities. Your ideas and comments are welcome.

Use of Section 5310 Vehicles for “other” Purposes: Transportation service providers receiving assistance under Section 5310 (or Section 5311) may coordinate and assist in regularly providing meal delivery service for homebound individuals if the delivery service does not conflict with or reduce service which might normally be expected or scheduled for special needs passengers. Applicants with questions about this provision may contact ADOT staff for additional guidance. Reviewers will evaluate on a case-by-case basis each application, which seeks to coordinate one of more of these programs into their operations.

Arizona Section 5310 Program Timetable *

ADOT distributes guidelines to COGs/MPOs.	Late January
Distribution of Guidelines to potential applicants by COGs / MPOs.	February
Regional Application workshops	February
Applications due to COGs/MPOs. (Schedule set by COGs/MPOs)	Late March/early April
COG-MPO/ADOT Regional Review Committee Meetings to evaluate and rank applications within each region	Late April
COGs/MPOs submit completed applications in order of regional priority to ADOT.	April 28
ADOT begins preliminary procurement specification process for vehicles.	May-July
ADOT submits statewide Application to FTA	May-June
FTA approval of ADOT request for program funding; notification to COGS / MPOs by ADOT.	July
ADOT conducts issuance of vehicles to recipients in Phoenix; schedule varies by vehicle type	Winter/Spring – Following Calendar Year

* Timeframes shown are typical and are subject to change. Applicants should inquire with their local COG or MPO representative regarding up-to-date scheduling changes and other details.

PART II. PROGRAM DESCRIPTION

This section provides an overview of the program, describes eligibility and the applicant responsibilities. It also identifies the basic project evaluation criteria, application review process, and appeals process. Finally, it identifies funding resources available to applicants to meet local match requirements.

A. Overview

Section 5310 is a grant program that provides capital assistance for public transportation programs designed to meet the special needs of elderly individuals and individuals with disabilities. Federal funds are apportioned among the states, which have the primary responsibility for administering the program. In Arizona, the Arizona Department of Transportation (ADOT) is the agency responsible for overall administration of the Section 5310 Program. This program is also referred to as the Elderly Individuals and Individuals with Disabilities Transportation Program.

The Public Transportation Division of ADOT administers this Federal program for the State of Arizona. These funds are available primarily in the form of new vehicles and related equipment which meet the transportation needs of elderly persons (sixty years and over) and persons with disabilities of any age. Typical eligible service providers are private-non-profit corporations, public agencies and Tribal governments and related Tribal community agencies.

ADOT works very closely with regional transportation planning agencies to solicit, review and award grant applications under the 5310 program. In rural areas of Arizona these agencies are Councils of Government (COGs) while in urbanized areas Metropolitan Planning Organizations (MPOs) fill this role.

B. Program Goals

The overall goal of this program is to provide and strengthen the public transportation services available to meet the special needs of the elderly and disabled. It is recognized that these populations have transportation needs which are often not met by conventional automobile or public transportation, and require specialized assistance in order to access services, employment, and medical care.

ADOT is committed to assist local communities in building effective and coordinated services through a combination of technical support, training, and funding to support the capital expenses of providing elderly and disabled service.

C. Applicant Eligibility and Use of Vehicles

Eligible Applicants

Eligible applicants for Section 5310 assistance include:

- Private-non-profit (PNP) corporations²
- Public agencies where viable PNPs are not available, capable and willing to perform the same or similar service
- Tribal governments and related Tribal community agencies.
- Governmental authorities approved by the State to coordinate services for elderly individuals and individuals with disabilities or to serve the coordination interests of a community or region.

The applicant must be an agency or organization. Solitary individuals, families and other small or other “informally assembled” groups not meeting the above descriptions typically do not qualify for Program grant awards.

Eligible agencies must provide service to elderly persons (60 years and over) and/or persons with disabilities of all ages with these Section 5310 vehicles or related equipment. Agencies may transport a broader clientele, but the persons who will be transported on these vehicles must primarily be individuals who are elderly or have disabilities. Agencies do not have to transport **all** clientele in this broader eligible group if it does not fit with their mission, but their core ridership must be **within** this group. For instance, a senior center would not normally be expected, or have the expertise, to regularly provide transportation to a passenger with a severe mental or developmental disability.

The applicant does not have to have transportation as its sole focus of business; in fact most applicants are human service agencies for whom transportation is secondary to their primary mission of providing other “core” services. However, in order to be eligible for Section 5310 assistance, organizations typically must provide transportation services primarily to clientele who are part of the elderly/disabled population. The transportation services should be supported with program-dedicated staff, and have a specific budget or at least “regularly programmed” line-item status within a larger overall organization budget.

Eligible Use of Vehicles

Vehicles provided through this program may be used for all trip purposes for the core elderly and disabled population. This includes but is not limited to transportation of people to:

- Shopping
- Medical appointments
- Meals
- Social services and facilities

² Evidence of non-profit status can be demonstrated by submittal of a certified copy of the articles of incorporation or by an Internal Revenue Service (IRS) 501(c)(3) Federal income tax exemption letter

- Recreational or social activities
- Employment
- Rehabilitation services

The program is not intended to provide emergency medical transport or ambulance service on a regular basis or engage in regularly scheduled school bus service.

Notwithstanding the restrictions above, State and Federal policies encourage cooperation between agencies to encourage efficient use of limited transportation resources. Applicants are encouraged to coordinate their services with other transit services as long as these uses do not conflict with providing public transportation services to Section 5310 clientele or reduce or displace elderly and disabled riders.

Eligible Capital Equipment

The primary focus of ADOT's program is on vehicle purchases and related equipment such as communication radios. Other capital expenses will be considered; for example, "Intelligent Transportation Systems" (ITS) such as vehicle locator systems, dispatching and scheduling software, and other information systems, etc. ADOT will evaluate applications for these proposed uses on a case-by-case basis.

Wheelchair accessibility is a high priority in Section 5310 in order to meet the growing needs of individuals of all ages with mobility-impairments. However, applications for "non-accessible" vehicles will also be considered by ADOT to best meet the needs of applicant agencies, when the applicant assures adequate ADA-compliant "equivalent service." This means that in order to obtain a non-accessible vehicle, an applicant must already have regular, guaranteed availability of a wheelchair-accessible vehicle in reliable and safe operating condition, available to the service area targeted by the application, and qualified drivers to operate it. The agency must also be able to provide this accessible service on a scheduling and capacity basis which is equal to that provided by non-accessible vehicles.

The following vehicle types are typically available. ADOT will evaluate requests for alternative vehicles on a case-by-case basis, but makes no guarantee that these other types will be available.

- Raised-roof van with wheelchair lift, 6 to 8 ambulatory, 2 wheelchair (w/c) positions.
- Raised-roof "body-on-chassis cutaway" with wheelchair lift. This vehicle is slightly larger (longer and wider) than standard lift vans but still does not require a CDL to operate. It has seats for 8-10 ambulatory passengers and two wheelchair positions.
- Twelve-passenger (including driver) "maxi van" without a wheelchair lift.

Vehicle brand and configuration may also be limited by whether a certain manufacturer can provide a specified-vehicle meeting Federal "Buy America" standards, which state—in part—that vehicles purchased with Federal funds must have 60% of the content sourced in the United States, and that the final assembly occurs in the United States.

D. Applicant Responsibilities

Successful applicants for Section 5310 program funding will be required to meet various Federal and State requirements. The applicant responsibilities are summarized below. The Federal and State requirements are described in detail in Part IV of this handbook.

Local Coordination Efforts

The applicant must participate in local and or regional efforts to coordinate services in an effort to make the best use of transportation resources in Arizona. The local coordination efforts will vary by region, and will be guided largely by the *Arizona Rides* efforts. It is anticipated that local or regional coordinating councils will be established in each region, and participation on these committees will be a requirement of all grantees.

ADOT strongly encourages the coordinated application by two or more agencies with one agency acting as the lead and principal applicant for the vehicle.

Coordination can take on many forms, including sharing information and referrals, joint training, sharing of maintenance facilities insurance providers, drivers and even vehicles. One of the primary forms of coordination is the utilization of one agency, typically a central funding or grant-making authority, to combine several smaller agencies' or groups with similar clientele into one inter-related program with multiple local facilities from which agency services are rendered.

A common methods of providing a coordinated application is through the utilization of an umbrella agency, which may function as a central grant writing, fund-raising or administering entity and which may also oversee satellite service-provider agencies: An umbrella agency would be a private-non-profit organization or public agency that would make application for two or more vehicles which would be subcontracted or otherwise distributed to affiliated eligible agencies on a needs basis. The advantages of this arrangement may include reduced administrative costs, greater trip coordination, and centralization of reporting and record keeping.

Local Financial Support

The applicant must typically provide a 22.5% local cash match for equipment purchase. The applicant must also demonstrate that they have the financial capacity to maintain, operate and insure the vehicles purchased by this program.

This local financial support may come from the applying agency or in the form of funding from the private non-profit agency, donations, or grants from local governments. Awarded applicants are asked to begin to secure their local matching funds early in the process, including preparing local political bodies (boards, commissions, managers, etc.) for the applicant's request for funds. Vehicle delivery often occurs late in the fiscal year following the application process, i.e., 12 to 18 months after an agency's application to the State for Section 5310 assistance. Applicants are encouraged to notify appropriate local decision makers of this fact relative to their matching funds programming needs so that if necessary the funds can be re-appropriated or carried forward.

Safety & Training

A commitment to operating safe services is a core requirement of the Section 5310 Program. Drivers must be well trained in not only the safe operations of vehicles and equipment but also in the how to assist and relate to passengers with special needs.

While drug and alcohol testing is not specifically required of Section 5310 recipients—except where other federal and state laws may dictate (post accident, CDL-certificate holders, etc.)—recipients should provide at least basic introductory and ongoing orientation regarding laws and expected conduct for new and existing drivers, other equipment operators and transportation system employees. Agencies must sign a “Drug-Free Workplace” certification at the time of application, which supports this drug and alcohol-free environment. ADOT may be able to assist with financial support and training opportunities to assist local entities in meeting these requirements. ADOT’s annual Rural Public Transportation Conference and the Arizona Transit Association’s (AzTA) Conferences typically held in December and April are two examples of state-supported training opportunities. Section 5311 operator-agencies are an additional resource, as they must follow more stringent education, training and testing procedures. However, it is important to realize that by participating in the Section 5310 program a commitment is made to provide for ongoing training for employees regardless of the specific availability of external training resources.

Reporting and Monitoring

During the period of stewardship of the awarded equipment, certain reporting by the recipient to ADOT is required to insure ongoing proper and adequate equipment use (e.g., hours or frequency of service and/or mileage). ADOT will request this information and inspect vehicles annually. Upon taking delivery, the grantee assumes an obligation to use the equipment in a manner that is consistent with the service portrayed in its application and with the contractual requirements of the State. Detailed information on maintaining the equipment and monitoring and reporting requirements is contained in Part IV of this handbook.

Equal Access

One of the goals and major tenets of the Section 5310 Program is “Equal Access” to transportation services provided by awarded recipient agencies. It is the intention of this transportation program to promote equal opportunity for access to services provided by agencies receiving Section 5310 Program grant funding and/or equipment, without regard to race, color, religion, ethnicity, national origin, gender, disability or age. As a practical matter, local agency policies may restrict its primary service to certain categories of persons. For example, a senior center may restrict service to exclude children or individuals with disabilities who are not also 60 years of age or older *or* for whom specialized care needs unique to a particular illness or disability cannot be reasonably expected to be accommodated.

Keeping in mind these common-sense operational exceptions, awarded agencies must comply with all non-discrimination laws and regulations. These include but are not limited to provisions of the Americans with Disabilities Act (ADA), the Civil Rights Act of 1964, and all other applicable State and Federal Equal Employment Opportunity (EEO) statutes.

Relationship to State and Federal Regulations

The above local requirements are identified in the Federal and State regulations that are outlined in Part IV of this handbook. In addition to reading the abbreviated summaries in this handbook, applicants are urged to read the FTA Program Circular and the applicable Office of Management and Budget Circulars for a thorough understanding of the Federal requirements.

E. Application Process

This section provides a description of the application process. It describes the project selection criteria, the application process, the review process and the appeals process. The application forms are contained in Part IV of this handbook.

Project Selection Criteria

Specific criteria guide the development of the program and are related to the broad goal of supporting service to elderly individuals and individuals with disabilities. The criteria are listed below, and are the basis for review and selection of applications for Section 5310 program funding:

I. Need for Proposed Equipment

20 points maximum

The need for proposed transportation service must be clearly demonstrated. Measures include:

- Target Population: number and types of individuals in service area
- Ridership
- Applicant's existing vehicle fleet
- Replacement of vehicle or expansion
- Other transportation services, including the a) availability, b) sufficiency and c) appropriateness of other services in the area.
- Anticipated increase, no change, or decrease of service

II. Effectiveness and Use of Equipment

20 points maximum

Approved projects must ensure the maximum utilization of equipment for transit services. Recipients are urged to provide vital transit services that are specifically targeted to the needs of *clearly identified* populations of elderly persons and/or persons with disabilities. Measures include:

- Number of elderly/disabled clients served
- Number of elderly/disabled passenger trips
- Proposed services and trip priorities
- Number of hours of equipment operation per day, week
- Annual miles of vehicle operation
- Limitation(s) on service

III. Coordination of Transportation Resources and Services**25 points maximum**

- Applicants must participate on the regional coordinating committees as they are established. Local and regional coordination has taken on even greater importance in light of the passage of SAFETEA-LU, the most recent highway and transportation-funding bill. Measures include:
- Participation on a regional or local coordinating committee
- Working agreements in place or proposed
- Coordination through an umbrella agency or other public urban or rural transportation programs, including “Job Access and Reverse Commute” programs
- Willingness to participate in a coordinated system
- Resource-sharing, fund “leveraging” (from a variety of sources) and other cooperative strategies with other State and Federal assistance programs.

IV. Financial and Management Capability and Related Training**20 points maximum**

- Successful applicants are required to demonstrate the financial and management capability to function as stewards of their ADOT/FTA grant for the useful life of their awarded equipment. Measures include:
- Availability/source(s) of match funds for vehicle
- Availability/source(s) of operating funds for transportation and overall program
- Board structure and organizational stability
- Passenger transportation program experience and qualifications
- Designated transportation staffing
- Adequacy of maintenance program and performance. Is routine preventive maintenance provided and documented? Are problems with vehicles, including accessibility equipment, addressed in a timely fashion?
- Past performance of ADOT contract activities. Are invoices submitted on a timely basis? Are all requirements met?
- Demonstrate compliance with applicable State and Federal requirements, including the Americans with Disabilities Act and non-discrimination laws, statutes, and regulations. Assurance that persons employed and served by the agency are not discriminated against because of race, color, creed, sex, disability, age or national origin
- Compliance with hiring, terminating, and promoting in accordance with Title VI, Civil Rights Act.
- Past Civil Rights or Equal Employment Opportunity complaints and the outcome of such complaints.

V. Accessibility, Safety and Driver Training Programs**15 points maximum**

- Drivers must be trained to meet the needs of elderly persons and persons with disabilities in an accessible and sensitive fashion. Competence in driver training and ability is required, as is a strong commitment to providing a safe ride for all in a drug and alcohol-free environment.
- Services that meet both the equipment accessibility and service accessibility requirements of the Americans with Disabilities Act
- Awareness and accommodation of special trip needs for persons who are elderly or have disabilities.
- Programs/policies for safety and drug-free transportation.
- Overall training programs provided to staff
- Established policies/guidelines on vehicle operation

Regional Application

In January of each year, ADOT releases this Handbook and Application to Arizona's four regional Councils of Government (COGs) and five Metropolitan Planning Organizations (MPOs) for distribution to all potential applicants. Also during January or February, each COG and MPO sponsors an application workshop to discuss the program with interested applicants. ADOT staff is present at each of these workshops to present the program and answer questions about the process.

The COG/MPO sponsors set the deadline for local applications, which are generally due to these regional planning offices in late February or early March. Applicants complete the 5310 Application and all supporting documents (see Section V, Application) and submit the completed application to the MPO/COG by the due date. Applicants may contact either COG/MPO regional contacts or the ADOT Program contacts listed in this document for advice during this period.

Application Review

Regional review committees are organized at the COG/MPO level and utilized to screen local applicants. The panel ranks the applicants in their region according to the evaluation criteria contained in this document. **It is important that the applicant refers to these criteria when answering the questions in the application.** These meetings are typically held in February or March.

ADOT receives applicant rankings from the COG/MPOs, and prioritizes applications from all grantees within a statewide context, and makes final application to the FTA. later that Spring. This application to the FTA lists all applicants in three ranked categories: "A-list" (recommended funding with available resources), "B-list" (alternates should additional funding be available or other requested information provided), or "C-list" (not recommended for further funding consideration).

When the requests for funding assistance exceed the annual ADOT program budget, only the highest regional priorities will be placed on the statewide "A-List." Depending on funding levels, all complete applications that meet requirements are typically assured at least "B-List" placement, which permits

future vehicle award should a vehicle or other equipment become available at a later date.³ Occasionally, former “B”- or “C”-ranked agencies which exhibited a need for improvement during the first application round (including completing missing information such as authorizations or available funding) may be elevated in status at a later date.

Appeal Process

All applicants will be notified in writing by their regional Council of Governments (COGs) or Metropolitan Planning Organization (MPO) of funding recommendations made by the Arizona Department of Transportation, Public Transportation Division. Applicants will be given the opportunity to appeal the ADOT Public Transportation Division funding recommendations. The applicant must use the following process to be recognized as a valid appeal.

The letter of appeal must clearly identify the applicant, contact person, address, and phone number, project description and grounds for appeal.

Letters of appeal must be postmarked by May 15, 2006 and mailed to: Gregg Kiely, Section 5310 Program Manager, Arizona Department of Transportation, 206 S. 17 Ave., Mail Drop 340 B, Phoenix, Arizona 85007.

The Program Administrator will review the appeal and notify the applicant in writing of his decision by May 30, 2006.

If the applicant is not satisfied with the Manager’s response, an appeal may be made to the ADOT’s Public Transportation Division Director at the same address as above. This appeal must be submitted and postmarked by June 5, 2006. A copy of the appeal must also be sent to the 5310 Program Manager. The Public Transportation Division Director will provide a written response to the applicant within 30 days of receipt of the appeal to the Director’s Office.

³ Depending on funding for a particular year, the number of applications may exceed awards. However, a few awarded agencies later reject vehicles due to circumstances unforeseen at the time of application such as inadequate local match or changing local administration or service needs. In those years where the budget more closely matches applicant levels, agencies which have requested multiple vehicles— but which were not selected in the first or “A” round—may be approached to replace agencies reneging on their initial requests. Prior-year applicants or recipients may also be contacted regarding unforeseen vehicle availability resulting from an agency on the “A” list reneging on a vehicle award. ADOT may also select from prior year(s) applicant lists to fill equipment order slots vacated by conditions such as those described above.

F. Funding of Local Transit Services

This section describes the funds that can be used to provide the local match requirement. Identifying adequate local match is often the greatest challenge facing program applicants. Internal agency resources, including charitable donations, are one source of funds. However local government funding, human service program funding, and other Federal funds can also often be used for local match.

Applicant-Agency Resources

Internal agency resources are one source of funding for the local match. For private non-profit applicants, these resources include charitable contributions from individuals, organizations, and foundations. As providers of important services to a needy group, the potential for private fundraising should not be overlooked as a component of total support. ADOT will look at dedication of applicant-agency resources as a strong indication of agency commitment to the transportation program. It is important to note that local match for the Section 5310 program must be in cash (an agency check), and must be delivered to ADOT prior to vehicle delivery—typically a few to several months in advance; pledges and in-kind donations may not count towards local match requirements.

Local Government Support

Local government financial support is a key aspect of developing and maintaining a strong public transportation program. ADOT would find it difficult to support an application lacking significant local public support.

Sources of local government funds include general fund dollars, Local Transportation Assistance Fund II (LTAF II), and dedicated taxes or levies for transit. These funds may be granted to the private non-profit applicants for specific use as local match for the Section 5310 Elderly and Persons with Disabilities Program.

Other Fund Resources

To augment Section 5310 funding, a variety of human service programs and employment programs can provide some support to elderly and disable transportation programs, through service contracts or direct funding. These programs include:

Older Americans Act Title III: These funds are used to meet the transportation needs of the elderly and disabled. Trips to congregate meal sites, doctors and grocery stores are commonly funded through this source and these funds can be used as match. Coordinate with your local Area Agency on Aging to see if there are opportunities for collaboration and funding.

Job Access / Reverse Commute (JARC) funds are targeted towards employment trips. The JARC grant program is intended to establish a coordinated regional approach to job access challenges. All projects funded under this program must be the result of a collaborative planning process that includes states and metropolitan planning organizations (MPOs), transportation providers, agencies administering TANF and employment or training funds, human services agencies, public housing, child care organizations, employers, states and affected communities and

other stakeholders. Coordinate with the local offices of the Department of Economic Security (DES) for jobs programs and training program transportation needs.

Temporary Assistance to Needy Families (TANF) funds are another source of funding for employment trips or trips to training facilities. The TANF program is administered by DES in Arizona.

LTAF II The Local Transportation Assistance Fund II is funded through Powerball proceeds. These funds are passed through to cities, towns, and counties for use for transit program operating and capital needs.

New Freedom Program funds are new to the recently passed highway and transit legislation. These funds are part of a broader initiative involving many Federal departments all working to integrate people with disabilities into the activities of community life. There is an emphasis on providing employment transportation and on using these funds to enable a region to provide a higher level of service to individuals with disabilities than required by the ADA, or provide service to those with disabilities who may not otherwise meet stringent, specific ADA-service eligibility guidelines. Regulatory guidance has not yet been prepared for this program.

Frequently Asked Questions

I have a private company; can my organization apply if we have not yet received non-profit status?

No, you must have completed non-profit status to submit an application. However, you may be able to gain use of a vehicle by collaborating with another private agency, which has non-profit status, or with a public agency. That organization must submit the grant application, and will be the responsible party for overall stewardship of the vehicle and ADOT program reporting until such a time as your organization can apply on your own.

How large an operation do we have to be in order to receive funding?

Agencies which have only a very few riders and/or limited service hours typically are not successful candidates. Reviewers will typically look for at least twenty-five (25) hours per week of *actual* passenger service. This figure is a general guideline, reviewed on a case-by-case basis and may vary particularly when operations are conducted within a coordinated system.

Who is elderly?

Anyone over 60 years of age is considered elderly for the purposes of the 5310 program.

Who is disabled?

A person with typically irreparable, chronic or otherwise long-term physical or mental impairments, which impede significant life functions. Temporary injuries such as extremity sprains and fractures are not typically considered “disabilities.”

Can we charge a fare?

Yes, a nominal fare can be charged. It is more common for agencies to request a donation.

What uses are not permitted for Section 5310 funds?

General Transportation: Generally, transportation other than that serving the elderly and people with disabilities is limited to that which does not interfere with the core Section 5310 mission. However, ancillary uses are permitted, and encouraged, if they do not interfere with the 5310 use. A vehicle carrying a passenger who is elderly or has a disability may also pick up a general public passenger if there is room available on the vehicle. A vehicle may also be made available for general public passengers during periods of low 5310 use.

Emergency Transportation: The program specifically is *not* intended to provide “emergency” medical transport or ambulance service on a regular basis. These types of transportation needs should be left to emergency-specific agencies, their qualified personnel and vehicles that are “purpose-built” and specially equipped for such duty. However, in keeping with the Good Samaritan Act, a Section 5310 vehicle can of course be used—as a private passenger vehicle might—to *occasionally and spontaneously* transport critically ill or injured persons when conditions indicate no other resources are available or that other resources are not as appropriate for such transport considering the injury or illness involved. An additional supporting factor of such vehicle use would be that it is the judgment of able adult persons on the scene that not transporting the injured/ill person(s) with the agency vehicle would risk an otherwise avoidable injury or fatality.

School Pupil Transportation: The program is specifically not intended to provide exclusive or regularly scheduled school pupil transportation. School pupil transportation operates under strict state laws governing the construction of vehicles; lights and other ancillary equipment; and driver training requirements. This notwithstanding, school children may be carried in addition to passengers who are elderly or have disabilities.

Our Senior Center delivers meals as part of our operation. Can we use a vehicle purchased through this program to both transport seniors and deliver meals?

Yes. Meal delivery may occur as an ancillary vehicle function when it does not displace riders or detract inordinately from “normal” Section 5310 passenger service, such as during times of low passenger usage. On the other hand, transporting people to meal sites is a permitted and popular use of Section 5310 vehicles. An example of a permitted scenario regarding deliveries is one in which a van has just transported a group of seniors to an activity center and, rather than returning to the central office empty picks up meals for a meal site without delay for its next passenger pick-up. The key judgment here is that *the van would otherwise typically run empty and does not impact normal passenger-trip scheduling* for this short period. Applicants should be careful, however, to avoid over-programming of such delivery activities to the extent that numerous daily or weekly runs comprise a significant percentage of the vehicle’s time on the road.

How much can we use a funded vehicle for non-elderly and non-disabled use?

There is no hard and fast rule. ADOT will evaluate applications to ensure that the primary mission of the program is upheld, and will look for evidence that elderly and disabled persons *who might normally expect service* are not displaced or inconvenienced by use of Section 5310 vehicles for other purposes. As a general rule of thumb, at least two-thirds of ridership and available operations time should be devoted to core elderly and persons with disability service. Reviewers may view the mix of “traditional” 5310 versus other uses more liberally if an application exhibits a high degree of inter-agency coordination. Vehicle operators should maintain an up-to-date log not only of their “regular”

ridership, but service provided outside of the agency's primary (Section 5310) clientele group for which the vehicle was obtained.

How important is identifying ongoing operations funding?

In their deliberations regarding potential grant awards, reviewers often must work within a delicate balance on the one hand of acknowledging the “dire need” of an agency for assistance, and on the other evaluating that same program’s capability to responsibly manage and operate its equipment for up to four years. It is important to note that the Department—and its application reviewers—strongly considers a local agency’s ability to provide matching funds for eligible purchases of a vehicle(s) or other awarded equipment. The operating budget submitted by the applicant gives an indication to reviewers that an applicant does—or does not—understand “what it takes” to operate a 5310 vehicle. *Also considered important is the agency’s long-term ability to maintain an operating and administrative budget appropriate to the project’s needs throughout the equipment’s “useful life.”*

What does ADOT expect for preventative maintenance of vehicles?

Pertaining to their application for—and stewardship of—ADOT-awarded equipment over its useful life, applicants should note that particular attention would be paid during application evaluation (and later site reviews for successful applicants) to demonstration and documentation of proactive maintenance and safety policies and procedures. ADOT encourages and expects all Section 5310 grantees to adopt and adhere to aggressive preventive maintenance schedules to insure long vehicle/equipment service and safe operation over the useful life of that equipment. At the time of application certification is made that the applicant will, *at a minimum*, meet the manufacturer’s recommendations for basic maintenance. In addition, because of Arizona’s extreme operating conditions much of the year and the heavy-duty use many vehicles are subject to, it is strongly suggested that the applicant follow more stringent preventive maintenance practices for many service intervals.

PART III. STATE PROGRAM ADMINISTRATION

This part described the responsibilities the ADOT Public Transportation Division (PTD) has in administering the Section 5310 program. Detailed information is provided on planning, procurement, monitoring, and financial management.

A. Overall Program Management

The Arizona Department of Transportation (ADOT) is the State agency designated by the Governor to administer the U.S. Department of Transportation/Federal Transit Administration's (FTA) Section 5310 program for funding public transportation services for individuals who are Elderly have disabilities. ADOT receives a formula allocation of funds annually which is then utilized to administer the program and procure vehicles and other transportation-related equipment for agencies which provide transportation services or access to social and health services to this population.

In addition to developing the annual statewide Section 5310 Program application for submittal to FTA, the Arizona Department of Transportation administers the program at the State level by performing the following activities:

1. Providing program information and technical assistance for project development, implementation and operation.
2. Coordinating vehicle purchases through a competitive bid process.
3. Monitoring the progress of each project through completion (four years or 100,000 miles)
4. Integrating the program with other ADOT administered FTA Programs including the Section 5311 Rural Public Transportation Program, Planning programs for rural and urban areas (funded under Sections 5303 and 5313, respectively) and the Rural Transit Assistance Program (RTAP). Initial planning for elderly and disabled services can be supported by studies done through the Section 5303 and 5313 programs.
5. Assuming responsibility for complying with Federal procurement, auditing and other requirements to minimize the requirements placed on individual agencies.
6. Networking with the Federal Transit Administration, other federal agencies, state DOTs, and associations, including attendance at regional and national conferences, meetings, and pertinent training forms, to enhance communication with industry peers and remain current in program management developments.

B. State Planning and Coordination

The transportation funding bill, SAFETEA-LU, enacted in 2005, calls for State DOTs to undertake activities to ensure that maximum feasible coordination of transportation programs occurs to optimize Federal grant awards. It also requires that projects be included in a plan that coordinates public transit and human service transportation services. These will be developed in the upcoming year through ADOT and Arizona Rides activities.

In Arizona, COGs are utilized to assist in regional screening of applicants and report to the ADOT Public Transportation Division on any transit issues and regional transportation priorities. Rural COGs also perform transportation planning and vehicle inspection functions for ADOT.

Applicants should inquire locally with their regional Council of Government (COG) in rural regions, and Metropolitan Planning Organizations (MPO) in predominately urban regions (Valley Metro/RPTA on behalf of the MAG MPO in Maricopa County) if they have additional questions regarding how their application fits in with local and regional transportation planning efforts.

C. Vehicle Procurement Process

ADOT Public Transportation Division procures vehicles for its Section 5310 recipients. Although every attempt is made to procure and deliver vehicles within one calendar year of ADOT submittal of statewide application to the FTA, longer periods are not uncommon. Actual invitation-for-bid and delivery schedules for vehicles is highly subject to ADOT staffing and industry manufacturing cycles and inventories.

The program is not able to draw down program funds prior to actually incurring expenditures. For this reason, and to ensure adequate funds for timely payment to vendors, the State program administrator requests recipients of awarded equipment to remit local matching funds to ADOT well in advance of actual delivery of equipment. This activity may occur from one to several months prior to delivery.

ADOT funding of vehicles is subject to Federal procurement regulations, which include Buy America provisions for purchases over \$100,000. For these purchases, ADOT and its vendor-manufacturer must certify that a certain percentage of vehicle components are manufactured--and final vehicle assembly occurs--in the United States. Also, vehicle inspections are performed by the Department upon shipment to ADOT and prior to recipient delivery, to insure that Federal and State specification requirements are met.

ADOT also conducts pre-award and post delivery inspections of modified vehicles to ensure that Federal Motor Vehicle Safety Systems criteria and Americans with Disabilities Act requirements are met. For large orders of modified (accessible) vehicles, this process includes inspections at the "secondary" manufacturing site (i.e., conversion manufacturer) for wheelchair-accessible vehicles during their assembly to observe the construction process on-line and insure adherence to ADOT and Federal specifications.

D. Contracting, Vehicle Title and Lien

Each successful applicant, referred to as a grantee, will be awarded capital equipment, usually a vehicle, purchased by ADOT. ADOT enters into an agreement with each local grantee stating the terms and condition of assistance. This contract identifies the responsibilities of ADOT and the grantee, lists the performance expectations and contract deliverables, and includes all Federal requirements as described in Part IV of this Handbook.

ADOT conducts all vehicle title and registration activities for the recipient agency as a part of the procurement process. In order that ADOT may act on behalf of the recipient for these transactions, a signed Power of Attorney must be submitted to the Department (on a form provided by ADOT).

ADOT holds a lien on grant awarded vehicles for four years or 100,000 miles, whichever occurs first. ADOT holds the original title in the name of the recipient agency. ADOT releases the vehicle at the end of the lien period (based either on the attainment of 100,000 miles or four years). The lien also enables ADOT to retrieve the vehicle if the agency discontinues operations or fails to fulfill its contractual requirements. Additional information about the contractual responsibilities of the grantee under the lien is found in Part IV Federal and State Requirements.

E. Vehicle Inventory Management

ADOT manages an inventory of vehicle information for the Section 5310 fleet. Contracts are kept up-to-date via annual reports filed with ADOT by grantees, and incorporated into project database files for program management use. This asset management system promotes proper vehicle maintenance and use and identifies problems or issues related to fleet defects or improper vehicle management. COGs work with ADOT field staff to conduct annual vehicle inspections in rural areas, while ADOT observes urban recipient compliance. The inventory system is known as the TAPS (for Transit Automated Program System). Among other tasks, this system flags agencies that may be due for vehicle replacement. The objective of this system is to ascertain statewide condition of the Section 5310 fleet and help determine what current and future strategic actions are most beneficial to ensure overall fleet service viability. See Form L of the application for the TAPS vehicle inventory form that is completed by applicants.

F. Project Monitoring – Grantee Review

ADOT regularly reviews grantees and monitors the use of vehicles. Grantees should expect annual vehicle inspections and an annual request for operational information via an Annual Report/Notice of Impending Vehicle Inspection inquiry. In depth management reviews of all agencies receiving Section 5310 funds are completed periodically, at least once every three years.

These reviews focus on vehicle use, maintenance, insurance, and safety. Representative topics include:

- Recent program changes (administrative and service)
- Compliance with Work Scope (i.e., is the vehicle still being used in accordance with the description in the recipient's original or approved-revised application?)

- FTA Requirements, including
 - Americans With Disabilities Act (ADA)
 - Civil Rights including ADA Service Provisions (see ADA portion of Civil Rights chapter in this section, and Appendix H); Title VI; Equal Employment Opportunity (EEO); and Disadvantaged Business Enterprise (DBE) participation, other related activities.
 - Meal Delivery, School Bus aspects of FTA compliance issues (where applicable)
- Vehicle use, including insurance,
- Vehicle Maintenance & Safety
- Program Management - written internal organization, policies and procedures
- Financial management - procedures, recent audits, etc.

Regional workshops are also held to address compliance and training issues. These workshops provide ADOT with the opportunity to assist its recipients on technical or management matters.

G. State Financial Management

Financial Status Reports prepared by ADOT Public Transportation Division are submitted to the FTA at the close of the operative Federal fiscal year. They include a narrative of grant project activity and summary of financial activity for that year. Timely receipt of all required information from grantees is therefore of great importance to assure that ADOT meets these FTA requirements.

PART IV. FEDERAL AND STATE REQUIREMENTS

As a Federal program, Federal legislation and a variety of Federal regulations form the foundation of how the Section 5310 program is operated. The Arizona Department of Transportation (ADOT) has developed procedures on how some of the Federal provisions are enacted in Arizona. In other cases, the requirement and language is straight from the Federal legislation and enabling regulations.

In this section, the basic Federal and State requirements are summarized. In addition to reading the abbreviated summaries in this handbook, applicants are urged to read the FTA Program Circular and the applicable Office of Management and Budget Circulars for a more in-depth description of the Federal requirements. These references are provided at the end of the chapter.

In Part V of the Handbook, the Application Packages, and applicants will see these fundamental regulations form a critical part of the application. As you complete the application, it may be useful to return to this section to get a broader understanding of the Federal or State requirement.

As the program administrator, ADOT requires that grantees document they are meeting all the Federal requirements, including the eligibility criteria discussed earlier in this handbook. In addition to requirements that must be met at the time of application, these State and Federal requirements require on-going management, monitoring and reporting systems to be implemented by the applicants in order to ensure continuing compliance. These requirements are also discussed in this section.

Federal Program Requirements

Applicants for Section 5310 funding must agree to comply with a series of requirements, and must sign certifications and assurances indicating they are following these requirements, as applicable to their project. The documents required of recipients are included in the application, Part V of this handbook.

Those requirements most significant to Section 5310 Program Applicants are summarized below and listed as Appendix A at the end of the handbook. The Application includes a complete listing of assurances required. The full text of these Fiscal Year Federal Certifications and Assurances is found on the ADOT PTD website.

A. Public Involvement

Applicants are required to notify interested parties in the community of their intent to apply for equipment through the Section 5310 program. This is done in two ways. First, a public notice must be placed in a newspaper of general circulation in the vicinity of the project stating the intent of the applicant. Second, a letter must be sent to all public and private transportation providers notifying them of the same and inviting their participation. In the Maricopa and Pima urban areas, the Maricopa Association of Governments (MAG) and Pima Association of Governments (PAG) take care of these responsibilities on behalf of the applicants in their area.

In addition, public agencies applying for Section 5310 funds must also provide an opportunity for a public hearing if one is requested. This requirement does not apply to private non-profit agencies. Public notices shall be published in the newspaper(s) having general circulation in the vicinity of the proposed undertaking. If someone with a significant economic, social or environmental interest in the matter requests a hearing, such public hearings must be held at a place and time generally convenient for persons affected by the proposed undertaking and accessible to persons who are elderly or have disabilities. Provisions should be made at the hearing for submission of written statements, exhibits, or oral statements. As appropriate to the ethnic makeup of the community or upon or upon request, translators should be provided for non-English speaking persons at the hearing. A written summary of the oral proceedings must be prepared. (See Sample Notice of Public Hearing in Application.) In addition, requests for appropriate accommodation for persons with mobility, hearing or sight impairments shall be honored.

With the exception of private-non-profit (PNP) providers in the MAG and PAG regions (see below), all other private and public transit providers in the applicant's service area must be informed of the applicants plans and provide them with an opportunity to participate in the project. A written notice must be sent to all other private and public transit providers in the applicant's service area. All replies of private and public sector providers must be included in the application. Supporting documentation must be provided if applicants deny existing private and public systems the opportunity to provide the service. (See Sample Notification to Other Providers in Application).

In Pima and Maricopa counties, the Pima Association of Governments or Maricopa Association of Governments may place a single public notice, which takes the place of the above requirements for individual notifications to providers, and offer to conduct a single public hearing on behalf of all applicants. However, it is recommended in these regions that applicants voluntarily notify all “obvious” organizations, agencies or companies within their service area which might have an interest in and wish to comment on their application.

B. School Bus Requirements

Under FTA’s school bus requirements, set out under 49 U.S.C. 5323(f) and 49 CFR Part 605, recipients may not engage in school bus operations exclusively for the transportation of students. These provisions derive from 49 U.S.C. 5302(a), which authorizes FTA assistance for mass transportation, but specifically exclude school bus service from such Federal assistance. This is not ordinarily an issue with the vans used for Elderly and Persons with Disabilities transportation, but applicants should be mindful of this Federal restriction. On the other hand, providing Section 5310 vehicles for special needs schools, often referred to as schools for “exceptional children,” typically serving youth with mental and/or severe learning disabilities, is a popular and permitted use. In these circumstances, the applicant must be aware of any other state or federal school transportation requirements (e.g., specific type or specification of vehicle and/or driver qualification) which may prohibit use of the typical Section 5310 type of vehicle.

C. Lobbying

Applicants must certify that no Federal funds have been used to influence Federal employees or Federal elected officials. The applicant also must certify that if *non*-Federal funds have been used for this purpose, then the applicant has filed appropriate Federal disclosure forms of this activity. This

certification applies to applications exceeding \$100,000, and thus does not apply to most Section 5310 program applicants.

D. Civil Rights

Civil Rights protections are a significant component of Federal requirements, and warrant special attention from Section 5310 Program Applicants. There are four areas of Civil Rights requirements with which the applicant must be familiar and comply:

1. Title VI (of the Civil Rights Act of 1964)
2. Equal Employment Opportunity (EEO)
3. Disadvantaged Business Enterprise (DBE)
4. Americans With Disabilities Act (ADA)

The Application Section of this document contains certifications, which all ADOT recipients are required to complete. It assures compliance with all applicable civil rights and equal employment laws. During the course of the sub-recipient's Federal Program Requirements, stewardship of vehicles or utilization of Federal funds for transportation services, any change in the above status or conditions which impact full compliance of the Title VI and related anti-discrimination provisions of the Program needs to be immediately conveyed to the FTA.

Title VI Nondiscrimination

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, or national origin. Related laws and regulations, as cited below, prohibit discrimination on the basis of age and gender. Together these requirements are sometimes referred to as "Title VI". Specific citations for FTA's provisions for grantees include:

- Title VI of the 1964 Civil Rights Act, Section 601.
- Section 19 of the Federal Transit Act provides guidance in the area of age and sex discrimination.
- FTA Circular 4702.1, "Title VI Program Guidelines for FTA Recipients," outlines specific State and grantee requirements.

Sub-recipient Requirements. Grant sub-recipients receiving funds or equipment from the Federal government through ADOT, are required to submit the following information as part of their application and annually thereafter, as long as a Federal interest remains in their equipment:

- Concise description of any lawsuits or complaints alleging discrimination in service delivery;
- Status or outcome of any lawsuits or complaints;
- Activities (contracts, programs, policies, etc.) which are supportive of positive efforts to enhance the inclusion of all individuals in the sub-recipient's employment or provision/receipt of service, regardless of race, color, creed, age or gender;

- Any Civil Rights reviews of their organization; and,
- Information on other Federal financial assistance applications.

In addition, the applicant (and subsequently, recipients annually) may be requested to provide information on the ethnic make-up of their organization (employees and clientele).

Equal Employment Opportunity (EEO)

As part of the certifications and assurances which are a part of the application, the sub-recipient agrees that it will not discriminate against any participant on the grounds of race, color, creed, gender, disability, age, or national origin. The sub-recipient also agrees to take affirmative action to ensure applicants and employees are treated without regard to their race, color, creed, gender, disability, age, or national origin. Such actions shall include, but not be limited to the following: employment, upgrading, demotion or transfer, recruitment or advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training. FTA Circular 4704.1, Equal Employment Opportunity Program Guidelines for FTA Recipients," outlines FTA EEO objectives. A copy of this and other FTA circulars is available from the ADOT Public Transportation Division.

Title I of the Americans with Disabilities Act also contains specific provisions prohibiting employment discrimination on the basis of disability and requiring employers to make reasonable accommodations for persons with disabilities.

Disadvantaged Business Enterprises (DBE)

General Description: All Section 5310 recipients and sub-recipients must adhere to the requirements of 49CFR Part 26 as amended, "Participation by Disadvantaged Business Enterprises in Department of Transportation Programs." The Arizona Department of Transportation's policy is to ensure nondiscrimination in the award and administration of DOT-assisted contracts in its highway, transit and airport financial assistance programs. ADOT encourages its grantees to contract with Disadvantaged Business Enterprise vendors in their service (e.g., maintenance, equipment supplies, etc.) or consulting contracts. Such vendors must, of course, be provided an *opportunity equal to non-DBEs* to compete for these contracts.

Since ADOT is responsible for procuring vehicles provided through this grant program, ADOT assumes primary responsibility to create a level playing field and ensure that Disadvantaged Business Enterprises can compete fairly for DOT-assisted contracts.

If any special equipment is procured for a grantee or by a grantee using these funds, ADOT will work with the sub-recipient to ensure that DBE requirements are met. Additional information on ADOT's DBE policy and requirements for grantees can be provided by the ADOT Public Transportation Division staff.

Americans with Disabilities Act (ADA)

All ADOT recipients of vehicles and other FTA grant assistance must comply with the Americans With Disabilities Act of 1990, transportation service and equipment provisions in subsequent regulations in 1991, and amendments thereto. The ADA was enacted by Congress as a national mandate for the elimination of discrimination against individuals with disabilities. Appendix H describes in greater detail the history and detailed requirements of the ADA, and its transportation

provisions more specifically outlined in follow-up regulations enacted in 1991 in order to better ensure that the needs of the mobility-impaired community. In addition, any new construction of public-access facilities must have appropriate features incorporated to enhance accessibility by persons who are mobility-impaired.

Service Provisions: The ADA requires of transportation providers a number of specific service provisions to be in place and operational. During its site reviews, of program recipients (see State Program Management and Planning chapter later in this section), ADOT staff will interview Section 5310 recipients regarding the status of the following ADA transportation service provisions:

1. Maintenance of accessible features (see details below)
2. Procedures to ensure lift vehicle availability
3. Lift and securement use (local policies and procedures)
4. Announcement on vehicles (where applicable; Appendix I)
5. Vehicle identification mechanisms in accordance with ADA
6. Service animals (what policies and procedures are in place which are in accordance with ADA? e.g., does the recipient permit accompanying service animals and with what conditions?).
7. Public information/communications (what actions are taken to apprise the disability community of transportation services available, and to otherwise ensure that persons with disabilities are given maximum opportunity to participate in the vehicle or other assistance recipient's provision of services?).
8. Lift deployment at any designated stop
9. Service to persons using respirators or portable oxygen
10. Adequate time for vehicle boarding and disembarking (what actions are taken to ensure that maximum reasonable time is allotted for these activities?)
11. Training

Recipients should undertake all reasonable means to provide for the needs of sight and hearing-impaired in its communications with individuals with these disabilities within its facilities. Braille-etched sign and other forms of written communication as well as telephone devices for the hearing impaired (TTYs, etc.) are some examples of facility improvements, which are covered under the ADA.

ADA Vehicle Maintenance Guidelines: During the course of a sub-recipient agency's use of an ADOT-program vehicle, maintenance of the vehicle(s) is a critical component of the service provider's stewardship. You will find the "Certificate of Compliance with Manufacturer's Maintenance Schedule" Assurance elsewhere in the Application Section of this document, which indicates that the signing party will abide by--or exceed--all manufacturers' recommendations in the

area of vehicle servicing and other maintenance, including accessibility-related components and equipment. The ADA requires that:

- Public and private entities providing transportation services shall maintain in operative condition those features of facilities and vehicles that are required to make the vehicles and facilities readily accessible to and usable by individuals with disabilities. These features include but are not limited to, lifts and other means of access to vehicles, securement devices, signage and systems to facilitate communications with persons with impaired vision or hearing.
- Accessibility features shall be repaired promptly if they are damaged or out of order. When an accessibility feature is out of order, the entity shall take reasonable steps to accommodate individuals with disabilities who would otherwise use the feature.
- A system of regular and frequent maintenance checks of lifts shall be established. If a lift fails to operate when in service, the ADA requires the vehicle be taken out of service before the beginning of the vehicle's next service day and repair the lift before the vehicle returns to service. If there is a contract operator, the sub-recipient must ensure the contractor notifies the sub-recipient immediately any failure of the lift to operate in service

If there is no spare vehicle to take the place of a vehicle with an inoperable lift, the sub-recipient may keep the vehicle in service for no more than five days if it serves an area of 50,000 or less population or three days if it serves an area of over 50,000 population.

- This section does not prohibit isolated or temporary interruptions in service or access due to maintenance or repairs.

It is important that the ADA regulations and guidelines be followed closely.

State Program Requirements

The State maintains ongoing program requirements in addition to those specifically required by Federal legislation. In part to meet its own reporting obligations and fiduciary duty to the FTA, ADOT requires its Section 5310 grantees to have ongoing management and monitoring systems in place. These requirements cover the administration of the agency, operation of vehicles, training of operators, reporting of vehicle and driver statistics etc. This section outlines the systems that grant recipients are required to put in to place, and provides references to forms and information to meet these requirements. These requirements include:

A. Administrative Requirements

Record Keeping

Records must be maintained in an auditable manner during the period of contractual obligation to ADOT and for three years following the date of release of the ADOT lien and completion of the project. A grant recipient may be audited without notice at any time during this period. ADOT will additionally conduct recipient reviews on the basis of at least once every three years. The recipient should maintain records regarding vehicle trip logs as well as information on driver safety records/incidents, vehicle insurance, regular and major maintenance and repair, and operating budget(s). The recipient should also keep up-to-date records on such aspects as ADA and other Civil Rights program requirements.

Audits

FITA does not require an annual financial audit of a grant recipient when the assistance is provided solely in the form of capital equipment procured directly by the State. Normally, therefore, Section 5310 grantees do not require an annual audit. However, as recipients of federal funds and/or state assistance, ADOT's programs are subject to an audit and in any given year the ADOT or federal auditors may choose to review financial records of sub-recipients.

Annual Reporting to ADOT on Vehicles and the Recipient's Program

Central to the management responsibilities a recipient undertakes when awarded a vehicle is the commitment to required vehicle inspection and annual reports. While these reports are typically submitted once a year, a new recipient should contact the Transit Program's Information Systems Manager upon award or delivery of a vehicle to determine the precise reporting schedule in effect for that year. In rural areas, COGs assist recipient agencies in this process typically in conjunction with annual vehicle inspections and may also work with ADOT field offices to carry out these functions. In urban areas, ADOT reviewers or contracted inspectors perform this function.

Minimum Required Insurance Coverage

Vehicle collision and comprehensive insurance--minimally in a prescribed amount--to cover liability and uninsured motorists is required in order to successfully apply for and operate an ADOT program vehicle. **Fair Market Replacement Value, as well as** Collision and Comprehensive insurance, including fire, theft, and vandalism, in an amount not less than the actual purchase price of equipment; subject to review and adjustment by ADOT on an annual basis, as follows:

Minimum Insurance Coverage for Passenger Vehicles

VEHICLE SEATING CAPACITY (including driver)	LEVEL OF INSURANCE COVERAGE
8 or less passengers	\$1,000,000 auto liability \$ 300,000 uninsured motorist
9 to 15 passengers	\$1,000,000 auto liability \$300,000 uninsured motorist
16 + passengers *	\$ 5,000,000 auto liability \$ 300,000 uninsured motorist

(* Note: Most ADOT Section 5310 recipients will not be in this larger category)

It is critical that the vehicle recipient-operator ensure that it retains on file up-to-date insurance, that this information is readily available for review by ADOT and its auditors and that a current insurance card is located on the vehicle at all times (this latter aspect will be examined during inspections).

The Certificate of Insurance and card must be submitted to ADOT prior to receipt of the vehicle(s). In addition, a current copy of the Certificate must be included with the Annual Report/Notice of Impending Vehicle Inspection, typically in October of each year, and submitted or returned to

ADOT. A breakout of coverage, effective insurance dates and listing ADOT as additional insured/loss payee and lien holder-is then verified by ADOT.

B. Vehicle Operations Requirements

Driver Licensing

ADOT's vehicle contract with recipients requires that all drivers--whether they are volunteers or paid employees--have a valid Arizona driver's Class "D" license or an ADOT approved alternate certification. MVD will require drivers to be licensed based on the type of vehicle operated.

Section 5310 vehicles generally are of a category that does not require a Commercial Drivers License (CDL) to operate. Drivers who operate a school bus or a vehicle designed to seat more than 15 passengers must have a CDL with a School Bus Endorsement. Drivers operating vehicles with a design capacity below this level need only the Class D license. However, obtaining a CDL license provides valuable skills for your vehicle operators, and recipient agencies are encouraged to have salaried drivers obtain this training when resources and time permit. For more information on the CDL, contact your local MVD office.

Driver and Management Training

Each recipient must assure that all drivers have received appropriate training in the use and operation of the vehicle and all vehicular equipment including but not limited to wheelchair lifts and ramps. To augment or update basic skills acquired through such training, ADOT further encourages all recipient agencies to regularly take advantage of any additional driver safety courses, including passenger assistance or sensitivity training courses which might be offered in their region or elsewhere. ADOT sponsors Passenger Service and Safety (PASS) courses periodically throughout the State. Contact ADOT's Public Transportation Division staff or check the web site for more information.

Vehicle recipients should contact their local MVD, police/public safety office or school district for information regarding the local availability of other driver safety and related training courses. In some instances, reduced insurance rates are available when drivers are certified as having completed a recognized driver-training program. In addition, recipient management is expected to participate in ADOT-held or sponsored training events (annual conferences, workshops, etc.) when they are made available. For rural grant recipients, conference-related expenses may be covered in whole or part--due to "rural (RTAP)" training funding. Even for those recipients, who might not be so assisted, training fees are typically quite reasonable. However, the timing and/or availability of such training is not always appropriate to a grantee's training needs and it is incumbent upon the agency operating the vehicle to insure that proper driver and passenger sensitivity training occur, regardless of external training resources available to assist with this requirement.

Maintenance Schedules

Preventive Maintenance is an area of high importance for Section 5310 providers. Maintenance schedules and service documentation—including oil change and other regular service intervals—should be kept on each vehicle, that (at a minimum) meet the requirements of the vehicle warranty and provide for the continuous safe operation of the vehicle(s) throughout their life.

Applicants are required to assure the State that they will *at least* meet the minimum manufacturer's recommendations for maintenance. As a matter of practice, however, the vehicle operator should pay particular attention to road, weather and other service conditions as considerations in adjusting factory-suggested maintenance schedules biased toward greater frequency i.e., typically *shorter* mileage or time intervals than the minimums often suggested if heavy service conditions exist (high frequency of stop-and-go driving, extreme heat or cold, dusty environment, etc. Depending on the season, this description applies too much of the Arizona operating environment! See Civil Rights Requirements/ADA section for additional maintenance requirements for accessible equipment and other features. Maintenance schedules are subject to review by ADOT or its COG representatives during periodic vehicle inspections or recipient evaluations.

Change in Vehicle Status or Condition

Any extraordinary change in the status or condition of the vehicle or its equipment (including wheelchair lift or ramp, and related accessibility devices), e.g., immobilizing damage, operation incapacitation, or legal involvement, must be reported to ADOT within 5 working days, even if satisfactory repair can be made within this period. [Note: Items such as flat tires, minor glass and paint scratches, minor "parking-lot dings," other incidental body dents, and regular, non-accident related repair or "normal" replacement items (e.g., alternators, radiators, brakes, etc.) are not subject to this requirement unless a vehicle is immobilized for an inordinately long period of time.

Accident Reporting

Any injury requiring hospitalization that results from, or is otherwise related to, vehicle operation (including passenger entry and exit should be reported immediately to the ADOT Program Manager. Also report wreckage or mechanical malfunction that disable the vehicle for an extended period.

C. Drug-Free Workplace Program

All recipients are required to have in place a "Drug-Free Workplace" Certification (See the certificate in the Application section). While the FTA does not require this certification except for "direct" FTA grantees, ADOT passes this requirement onto its recipients as a condition of grant awards.

Holders of commercial drivers licenses (CDLs) who operate Commercial-class vehicles are subject to Federal Highway Administration (FHWA) rules for drug and alcohol testing. The vast majority of Elderly and Disabled transportation programs use vans that do not require commercial licenses of drivers to operate. Holders of CDL certificates must nevertheless comply with FHWA regulations here.

A Section 5310 recipient is not required to have a testing program and other extensive monitoring. The recipient's "Drug-Free Workplace" policy is the minimum requirement. ADOT prefers that it augment a stronger policy. The Drug-Free Workplace certification should be posted in a publicly visible location, and the agency should conduct basic employee orientation regarding the use/abuse of drugs and alcohol in/affecting the workplace.

The recipient should also have *at the least* established *basic* policies and procedures regarding what actions may be taken should drug or alcohol abuse in—or affecting—the workplace occur. A Section 5311 Program in your region may be able to assist in your development of a workable policy for your

organization, as these agencies are required to have stringent testing and employee orientation policies in place. Contact ADOT's Section 5310 or 5311 administrator, or if in a rural area your COG representative, for further information on the Section 5311 program nearest you.

Section 5310 operators may develop *their own* drug testing and monitoring policies and procedures as long as they comply with Civil Rights and other state and federal regulations governing such testing programs. All equipment operators must of course comply with state regulations regarding post-accident and reasonable cause testing which may be required of all motor vehicle operators by state and local law enforcement.

D. Vehicle Ownership Requirements

Recipient Agency Contract with ADOT, Title and Lien Terms

ADOT holds a lien on vehicles purchased with Section 5310 funds for four years or 100,000 miles, whichever occurs first. This lien is to preserve the State/Federal interest in the vehicles resulting from the typical 80% FTA funding of vehicle costs.

Notwithstanding lien status, the recipient agency is required to register Program vehicles in their name and at their own expense.

A vehicle's useful life is defined as four (4) years from the issue date or 100,000 miles, whichever occurs first. A recipient agency may request that ADOT release the lien only when a vehicle has reached 100,000 miles prior to the four-year mark. Once the vehicle's lien is released by ADOT, it becomes the "clear" property of the recipient agency.

The ADOT approval of a lien release at the four-year mark is not necessarily automatic. ADOT will review such aspects as mileage and vehicle condition. ADOT may request a letter explaining any "low mileage" or other irregularity. If after this evaluation a requested lien release is not approved, ADOT may at its discretion, initiate procedures to transfer the subject vehicle to another recipient, or at a minimum, require the recipient to continue its contracted operation of the vehicle and related annual reporting to ADOT. *See below for additional information on lien releases.*

Disposition of Vehicles On and Off Lien

ADOT Section 5310 vehicles are issued to local vehicle recipients (applicant-awardees) with ADOT identified as lien holder, just as a bank would hold a lien on a vehicle purchased by a private party with a bank loan. ADOT is listed as the "legal owner" (as well as lien holder); sub-recipient (local grantee) is listed as the "registered owner."

Sale of Vehicles On and Off-LienLien Release Conditions and Off-Lien Transactions

While in effect, the vehicle lien prohibits the sale, or transfer of the vehicle and its registration or title to an unrelated⁴ third party without prior ADOT knowledge and approval.

Termination of the lien based on the above parameters is not automatic. After one of these conditions is met, it is incumbent upon the vehicle recipient currently holding title and registration to request in writing to ADOT's Section 5310 Manager a release of the lien. Approval of a lien release by the Department effectively terminates any ADOT fee-title, fiduciary or other interest in the vehicle. Once the lien is released the recipient can dispose of the vehicle in a manner that it deems most beneficial to its interests, without any required further consultation with ADOT. The recipient may also retain the vehicle. For the purpose of its asset management system, ADOT may continue to request basic operating information on "off-lien" vehicles, which are kept in service by the recipient.

On-Lien Transactions

In the event that a recipient no longer has an interest in retaining a vehicle prior to one of the above lien-release conditions being met, the vehicle first is released back to ADOT and the Department administers further action. The original recipient is no longer part of the transaction until a new recipient-agency remits new matching funds to ADOT. At that point, ADOT will refund appropriate funds—not to exceed 20% of the ADOT-determined depreciated value—due back to the original recipient.

In order to effectuate an ADOT transaction to dispose of a pre-lien-release vehicle, ADOT typically would take possession of the vehicle, with an agreement that no-more-than twenty (20) percent of the then-current valuation (based on ADOT appraisal) be remitted by ADOT to the transferring agency. This percentage is based on the recipient's original capital interest in the vehicle.

Barring unusual circumstances⁵, any remittance transaction would be governed by an ADOT-obtained appraisal of fair-market value and/or retained value which may or may not be based on a straight-line depreciation schedule governed by miles accumulated within the 100,000 mile or four-year "useful-life," period, and otherwise consistent with accepted ADOT and Federal grant/financial management practice.⁶

Vehicle TransfersMethods of Transfer

In those instances where a vehicle is re-posessed by ADOT (with or without compensation to the original transferring party) for the purposes of transfer from one agency to another,

⁴ An entity outside of the original applicant's organizational structure and unrelated to the proposed equipment usage indicated in the original application.

⁵ ADOT retains the right to deny - or otherwise issue only limited - remittance, which might otherwise be due to the transferring recipient-agency, if the Department determines that abuse, misuse, gross negligence, or other mismanagement of the vehicle or equipment has occurred. This would be done on the basis that such conditions would constitute a breach of contract between the recipient and the State regarding the use/management of the equipment while under the stewardship of the recipient.

⁶ As a general rule, the Federal government defers to the State's judgment and practice in these matters.

ADOT will consult with the appropriate regional COG or MPO offices to determine the best new candidate for transfer vehicle.

If the original recipient's regional planning office cannot make a recommendation for placement within its area of jurisdiction, ADOT will consult with other COGs/MPOs as it deems appropriate for placement of the vehicle. After such a determination has been made and approved by ADOT, the new recipient must then file an updated Application for Capital Assistance with ADOT's Section 5310 Administrator, which would outline the intended conditions under which the vehicle will be used.

Conditions of Transferor Compensation and Transfer: On-Lien

Any new vehicle transferee, if located within the ADOT Section 5310 Program, takes on the *remainder* of the original lien and its conditions - including responsibility for the typical 20% of the residual value, as appraised by ADOT, (whereby ADOT/FTA retains 80% interest), as well as ADOT reporting requirements and a new vehicle contract.

Leasing and Contract Operation

Vehicles acquired under the Elderly Individuals and Individuals with Disabilities Transportation Program may be leased to private-for-profit operator only for the services identified in the grant application, when such companies could not otherwise provide required services and where such arrangements result in more efficient and effective service for elderly persons and persons with disabilities.

The leasing or contract operation of a Program vehicle by a private operator is allowable only with the prior written approval by ADOT. The recipient agency and the private operator must execute an agreement that ensures the proper use of the vehicle before it can be placed in service. The original applicant-agency remains the party responsible for ADOT reporting and compliance with insurance, maintenance and other aspects of vehicle stewardship.

PART V. PROJECT APPLICATION

A. General Instructions

Announcements of 5310 funding and application availability will be made by mail to all councils of governments (COGs) and metropolitan planning organizations (MPOs). The COGs and MPOs are then responsible for notifying interested parties - including all Tribal governments within their regions - that applications are available. The announcement is also on the ADOT Public Transit Division website. Applications are available from the rural Councils of Governments, the Metropolitan Planning Organizations, and can be found on the ADOT Public Transportation Division website (<http://www.dot.state.az.us/>).

Additional information on the program and on eligible applicants is found in the body of the handbook. It is important that applicants read through the entire handbook to gain a complete understanding of the program and of the federal and state requirements with which successful applicants will be required to comply.

Application forms are available in electronic format, in Microsoft Word and Excel 6.0. While a significant amount of information is requested of applicants, using the electronic format enables applicants to readily update this information each year. If a paper or other format is needed, contact your COG or MPO representative for assistance.

A paper copy of the application must be submitted. Original signatures are required on the certifications and assurances. Allow adequate time to obtain the necessary signatures and approvals and to mail or hand deliver a copy of the application to ADOT Public Transportation Division.

Role of Council of Governments and Metropolitan Planning Organizations

The applications for the Section 5310 program go through the rural COGs and urban MPOs. The COGs and MPOs:

- Distribute application packages;
- Set the application due date for the region
- Accept completed applications;
- Review the applications submitted for vehicles in the region; and
- Establish and submit to ADOT Public Transportation Division a priority list for grant awards within the region

ADOT Public Transportation Division is responsible for reviewing the applications and regional priority list, making final decisions on awards.

In the case of applicants who operate services that span two regions or operate in both an urban and rural community, applicants are requested to either:

- Submit separate applications for each region if the vehicles will primarily operate in different regions and be managed by different staff; or,
- Submit the application to the COG or MPO in which the vehicle will primarily operate and send a copy of the cover letter to the other COG or MPO so they will know that vehicles have been requested that will be crossing the regional boundaries.

In both cases, the cover letter should inform both COGs (or COG and MPO) of what vehicles are being applied for and where the application(s) have been submitted.

Application Contents

The application consists of:

- A checklist
- Basic grantee information
- Narrative pages in which the applicant is requested to describe the program
- A budget for the capital request
- Certifications, assurances, and other attachments

In addition, recipients are required to submit a cover letter summarizing the request and highlighting key points, addressed to the council of government or metropolitan planning organization to which the application is submitted.

Applicants should complete all sections concisely and completely, including the budget forms. The narrative questions explain to the interview committee:

- The services provided, how the target audience of persons who are elderly or have disabilities are targeted for service, and the role of the service in the community
- Management ability
- Compliance with Federal and State requirements

Incomplete applications typically will not be accepted. Should an applicant have difficulty in obtaining important information or certifications on time, the applicant should contact the COG or MPO to which the application will be submitted and ask for written authorization for turning in the item late. Exceptions may occasionally be made, depending on the nature of the problem and contingent upon the explanation, notification provided by the applicant, and ability to submit the information before final decisions are made. The individual COG or MPO is responsible for making the decision on whether an exception will be made, and may contact ADOT Public Transportation Division for concurrence prior to notifying the applicant of the decision.

Instructions for Using the Electronic Files

The application is an electronic Microsoft Word file. The electronic format enables applicants to readily update this information each year. Please note that there is a “header” on the application where you are requested to put your system name.

Complete the necessary forms and print. For your final application, bind together only the pages that need to be submitted for your project, including the support documentation where requested. Do not include these instruction pages or the sections that are not appropriate for your project.

Form fields are used on the electronic version to accommodate responses to application questions. To edit any text outside the form fields, including putting your agency name in the header of the application, you will need to override this tool. To turn off the forms tool:

- Under “View”, Click on “Toolbars,” Click on “Forms.”
- Last symbol is “Protect Form,” a padlock. If this is “unlocked,” you may make changes to the document such as moving text. This must be “locked” or darker in color in order to insert data into the form fields.

When you have finished any edits, “lock” the “Protect Form” and you will again be able to insert information in the form fields.

Evaluation

The information contained in the application will be used to rank each project based on a series of evaluation criteria. Each project’s ranking will be based on a combination of narrative answers, financial, and system performance data. The criteria are described in more detail in Part II, Section F of the handbook. Following is a summary of the categories and maximum points possible.

Need for Proposed Equipment	20 points maximum
Effectiveness and Use of Proposed Equipment	20 points maximum
Coordination of Transportation Resources and Services	25 points maximum
Financial and Managerial Capability	20 points maximum
Accessibility, Safety, and Training	15 points maximum

Application Process and Awards

Applications will be considered for funding based on the evaluation and selection criteria listed in this application packet. The information submitted as part of the application will be the main source of each applicant’s score and priority rating.

Projects are listed in two different categories, depending on how completely requirements have been satisfied:

CATEGORY A includes those projects certified by DOT as having met all the statutory and administrative requirements for approval.

CATEGORY B is those projects that DOT anticipates approving during the current year, but have not yet met all statutory and or administrative requirements, or for which there is not

adequate available budget. As the necessary requirements are satisfied or funding becomes available, these projects may be advanced to Category A.

The final decision on project selection and funding will be made by the Director of ADOT Public Transportation Division. ADOT retains sole discretion to determine which projects will be funded and the amount of funds awarded to any given project.

ADOT Public Transportation Division may award all capital equipment requested, some of the capital equipment, or none at all. All applicants will be notified of this decision within one week after the final decision is made, anticipated to be in **April 2006**.

Grant applicants are advised that the time required to receive the capital equipment is approximately twelve months. For awards made in April of 2006, applicants generally receive a vehicle within seven to twelve months. However, a variety of factors can cause delays, including changes in regulatory requirements or manufacturing schedules.

ADOT Public Transportation Division may request additional information from applicants to clarify information submitted.

Application Assistance

The Council of Governments and Metropolitan Planning Organization in each region will hold workshops to assist applicants with completing the application form. At these workshops changes from prior years are reviewed. Applicants are strongly encouraged to attend these workshops in order to understand changes made from year to year as well as learn about other program updates.

The locations, dates and times of the workshops are included on the ADOT Public Transportation Division website (<http://www.dot.state.az.us/PTD/>) and can be found under the “PTD Events” calendar icon. Attend the workshop that is most convenient for you.

Additional questions regarding your local application process should be addressed to your local COG or MPO representative. Contacts are listed in the first section of the beginning of the application handbook. The second point of contact is Loretta Crimi of the ADOT Public Transportation Staff, at 602-712-7106 or Gregg Kiely, Section 5310 Program Manager at 602-712-6736.

Application Submittal

Applications are to be submitted to your local COG or MPO representative, by the date and time set by each COG or MPO. Instructions on the due date and number of applications submitted are provided by each COG or MPO along with this application package.

B. Application Package

A complete set of the application forms begin on the next page. Applicants are urged to work from an electronic copy of the forms which can be obtained as a Word file on the ADOT Public Transportation Division website at <http://www.dot.state.az.us/PTD/>.

APPLICATION FOR SECTION 5310 ASSISTANCE FOR FY 2006-07

APPLICATION PART 1: PROJECT INFORMATION AND CHECKLIST GENERAL INFORMATION

COG/MPO Region:

Primary Service Area

☐ Rural ☐ Urban ☐ Both

Application is for:

(Please identify number in each category)

☐ Replacement Vehicle(s) ☐ Expansion Vehicle(s)

☐ Other - please describe:

**1. Transit Provider Umbrella
Agency Name (if any)**

Contact:

Title:

Address:

City:

Zip Code

Phone:

FAX:

E-mail:

Web Site Address (if any):

**2. Transportation Provider
Agency Name (if different
from above)**

Contact:

Title:

Alternate Contact:

Address:

City:

Zip Code

Phone:

FAX:

E-mail:

Web Site Address (if any):

2. **Eligible Client Description:** (briefly describe the clients your agency serves and whether they are individuals who are elderly or have disabilities. If they are persons with disabilities, describe the primary type of disability.)

4. **Type of assistance requested** ^{(1) (3)} :

“Type”	Vehicle	Quantity
--------	---------	----------

- | | | |
|---|--------------------------|--|
| 1 | <input type="checkbox"/> | Lift-equipped “Maxivan” van |
| 2 | <input type="checkbox"/> | Lift-equipped “Cutaway” |
| 3 | <input type="checkbox"/> | 12 Passenger Maxivan (no lift) |
| 4 | <input type="checkbox"/> | 6-7 Passenger Minivan (no lift/ no ramp) |

Other Describe:

Other Equipment:

Radio(s) or other
communications (*describe*)

Other (*describe*)

Preference: If more than one item is requested, please list the items according to your preference ⁽²⁾:

First Choice

Second Choice

Other comments on
preferences

5. **If an early vehicle delivery is available**, the applicant should note whether it:

- ☐ YES, prefers an early delivery; matching funds will be available early
- ☐ NO, does not prefer an early delivery
- ☐ OTHER, (explain)

Notes:

1. If more information is needed on vehicle types, please contact your COG or MPO representative or the ADOT Public Transportation Division staff.
2. This application serves as the record of what the applicant is indicating is its preference(s).
3. The applicant should keep in mind that only Types 1-4 and/or radio (communications) equipment will *likely* be ordered. Equipment requests falling outside of these descriptions will be considered only on a case-by-case basis.

CHECKLIST

The following documents must be submitted as part of your application:

COG/MPO Check-off	Applicant Check-off	
<input type="checkbox"/>	<input type="checkbox"/>	Cover Letter (Addressed to COG or MPO, transmitting application and summarizing request and key points)
<input type="checkbox"/>	<input type="checkbox"/>	Checklist and Project Information
<input type="checkbox"/>	<input type="checkbox"/>	Narrative Description of Project (Sections A - G, including Vehicle Inventory Form)
<input type="checkbox"/>	<input type="checkbox"/>	Agency Capital Request and Budget
<input type="checkbox"/>	<input type="checkbox"/>	Federal Certifications and Assurances
		<input type="checkbox"/> Assurance of Authority of Applicant and it's Representatives
		<input type="checkbox"/> General Assurances
		<input type="checkbox"/> Certification for Civil Rights Complaint Status
		<input type="checkbox"/> Certification for Drug-Free Workplace
		<input type="checkbox"/> Certificate of Compliance with Manufacturer's Maintenance Schedule
<input type="checkbox"/>	<input type="checkbox"/>	Support Documentation
		<input type="checkbox"/> Articles of Incorporation for private non-profits. The copy must be certified. A copy of an IRS 501(c)(3) letter of exemption as a nonprofit organization may be submitted in lieu of the incorporation articles.
		<input type="checkbox"/> Public Notice (Applicants in MAG and PAG areas are requested to attach notice placed by MAG or PAG on their behalf.)
		<input type="checkbox"/> Notice of public hearing announcement (public agencies only)
		<input type="checkbox"/> Letter of Notification to Other Providers (not required of applicants in MAG and PAG regions; other applicants are to attach copies of letters sent)
		<input type="checkbox"/> Project support letters
		<input type="checkbox"/> Opposition letters to the project
		<input type="checkbox"/> Map(s) of service area (<i>optional – only if requested by COG/MPO reviewers</i>)

APPLICATION PART 2: NARRATIVE DESCRIPTION OF SYSTEM

(Attach any support documents/materials following Part 2)

This part of the application is divided into several sections, each covering a different aspect of your system and its management. Applicants are urged to provide thorough but concise answers to the questions.

The application form requests information first on the total program and then on the particular use of the vehicles that are requested through this application.

Reminder: Requests for vehicles intended for a significantly different service area(s) within the same agency should be submitted through separate applications. In evaluating the grant requests, the reviewers are concerned with the management ability of the local program where the vehicle will be operating and the level of use the vehicle will have in the community where it will be located.

A. ORGANIZATION

1. **Provide a brief description of your agency's primary mission, including a mission statement if available. What are the general service area boundaries? Please describe your agency's experience and qualification in providing passenger transportation.**

2. **Structure of your organization. Attach an organizational chart illustrating Board Members and employees. Identify the transportation employees or other employees who also drive (use job titles – e.g. drivers, client counselors, etc.). Indicate if they are full-time or part-time. Describe how the employees fit into the overall organization and the percentage of their time that they drive.**

3. **What, if any, role do volunteers have in driving vehicles in passenger service or other ancillary driving activities? How many volunteers does your agency have and what is the average amount they work each week?**

B. PROGRAM DESCRIPTION

Describe your current transportation service and attach any brochures given out to customers for additional detail. This section pertains to your entire program.

If your agency does not currently provide transportation but will be starting a transportation service, include when it will start in the response to the first question and describe the anticipated service in this section.

Include the following:

1. General description of service**2. Current service area(s), days and hours of operation.** Note: Identify all service areas and types of services provided in these areas. This is particularly true for umbrella agencies administering a number of satellite programs.**3. List the primary local activity centers including medical, commercial locations, human service programs, and low-income or public housing that are served by your system. Explain how often they are served and indicate those activity centers that are the busiest.****4. Do you charge a fare or request a donation from the passengers you carry?**

- ☐ A fare is charged
☐ A donation is requested (but not mandatory)
☐ No fees are charged to clients

5. Is your system planning to either:

- ☐ Maintain the same level of service as last year
☐ Increase the level of service
☐ Decrease the level of service

If your system is proposing to increase or decrease service, please describe the changes and why they are proposed.

6. Vehicle Availability. How many vehicles are:

- ☐ Available for passenger service? ☐ Required in your peak period?

7. Do staff members also transport clients in personal vehicles?

- ☐ Yes (explain below to what extent)
☐ No

8. Complete the vehicle roster on the following pages.

Total Fleet Vehicle Inventory

Instructions

Use the following vehicle condition and classification code table to fill in and complete the information on the total vehicle fleet inventory table. On the Total Fleet Vehicle Inventory list, please provide individual vehicle information on all vehicles used to carry passengers in your fleet.

VEHICLE CLASSIFICATION AND VEHICLE CONDITION CODE TABLES

(Use the following codes for completing the table on the next page.)

VEHICLE CLASSIFICATION TYPE	CODE
HEAVY DUTY 40 + FOOT BUSES	1
HEAVY DUTY 40 + FOOT BUSES	2
MEDIUM DUTY 20-30 FOOT BUSES OR MINI-BUSES	3
LIGHT DUTY 20-30 FOOT VANS (Larger Cutaways, and Maxi-Vans, etc.)	4
LIGHT DUTY 15-25 FOOT VANS (Small Cutaways, Mini-Vans , Small Maxi-Vans (including lift vans) & Suburbans)	5
SUPPORT VEHICLES (Sedans, Station Wagons, Pickups, etc.,)	6
NOTE: Vehicle footage is measured from bumper to bumper)	
VEHICLE CONDITION DEFINITIONS	CODE
EXCELLENT: Brand new or less than one year old, no major problems exist, or only routine preventative maintenance is required.	5
GOOD: Elements are in good working order, requiring only nominal or infrequent minor repairs.	4
ADEQUATE: Requires frequent minor repairs or infrequent major repairs. Elements are in adequate working order and the asset's usage can continue.	3
POOR: Requires frequent major repairs, elements are in poor working order, or asset is technologically dated and requires major retrofit. Future usage requires significant investment, which may or may not be cost-effective.	2
FAILURE: In sufficiently poor condition that continued use is impossible or non-cost-effective.	1

TOTAL FLEET - VEHICLE INVENTORY AND CONDITION

(Includes all vehicles used for passenger service - ADOT / FTA and NON - ADOT / FTA funded vehicles)

PROVIDER NAME :[illegible]

NOTE: SEE PREVIOUS PAGE FOR CONDITION CODES AND VEHICLE CLASSIFICATION CODES. USE ADDITIONAL SHEETS IF NECESSARY.

C. NEED FOR SERVICE

In this section, describe your overall transportation program.

1. Please indicate the number and type of individuals in the service area being served by your Agency that are:

- a. Disabled persons (not also elderly)
- b. Elderly persons (not also disabled)
- c. Elderly disabled persons
- d. Other

Total (non-duplicated) persons (a+b+c+d)

0

2. How many annual passenger trips are provided by your agency?

3. Describe how many days service is operated, along with any important seasonal differences in service.

Operating Days per Week

Describe any important seasonal differences in services operated:

Operating Days per Month

Operating Days per Year

4. Please list the vehicle service* hours and vehicle service miles your agency provides.

Daily Service Hours

Daily Service Miles

Annual Service Hours

Annual Service Miles

**Non deadhead*

5. What is the intended distribution of trips (%) for agency clients?

TRIP PURPOSE	Percent (Must equal 100%)
Medical	
Nutrition	
Adult Day Care	
Employment	
Education & Training	
Service Appointments	
Social & Recreational	
Other (Specify)	
Total	1%

6. Can all requests for service be accommodated with the existing services?

☐ Yes, all requests accommodated

☐ No, all requests not accommodated (describe below)

D. VEHICLE USE**1. How will the requested equipment be used?**

☐ Replace Existing – vehicle being replaced is a _____ year with _____ miles

Does vehicle being replaced have wheelchair lift? ☐ Yes ☐ No

☐ Additional Service

If this vehicle will provide additional service, complete questions a through d.

- a. Describe the additional service that will be provided with the additional vehicle(s) requested in this application. Include information on where the vehicle will serve and the schedule, including hours per day and how many days per week the service will operate.**

--

- b. Identify the increase in service hours and service miles due to the expanded service.**

Daily Service Hours Daily Service Miles

Annual Service Hours Annual Service Miles

- c. What is the number of passenger trips expected for the new service?**

Daily

Annually

- d. How many *unduplicated* elderly individuals and individuals with disabilities will use the new service?**

	Daily	Weekly	Annual
Elderly (not also disabled)	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Elderly with a disability	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Disabled and not elderly	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Total:	<input style="width: 100px; text-align: center;" type="text" value="0"/>	<input style="width: 100px; text-align: center;" type="text" value="0"/>	<input style="width: 100px; text-align: center;" type="text" value="0"/>

E. COORDINATION OF SERVICE

This section provides an opportunity for the applicant to provide evidence of coordination or willingness to coordinate with other agencies, e.g.: public transportation operators in the service area, DES, Department of Human Services, Senior Centers, your community's One Stop Center for employment assistance or the various training programs offered for residents of your community.

In the upcoming year, all agencies awarded Section 5310 funds for vehicles will be expected to participate in local or regional coordination activities.

- 1. What other transportation services operate within your service area?** Identify these services, *regardless of whether you feel they are appropriate or sufficient for your clients.*

- 2. Describe the sufficiency of the other transportation services described above to meet the needs of your clients.**

- 3. Does your agency have any existing or proposed working agreements with other social service agencies or transportation providers for the provision of coordinated transportation services to individuals who are elderly or have disabilities?** If so, note conditions or limitations below. If it is a written agreement, attach a copy.

- 4. For each of the following, check those for which you present coordinate or share with other agencies and those which you are willing to evaluate in an effort to increase coordination.**

	Currently Do	Would Consider
Sending our drivers to training held by others	<input type="checkbox"/>	<input type="checkbox"/>
Invite other drivers to attend our training	<input type="checkbox"/>	<input type="checkbox"/>
Share back-up vehicles with other agencies	<input type="checkbox"/>	<input type="checkbox"/>
Provide information to our clients on other available services.	<input type="checkbox"/>	<input type="checkbox"/>
Work with other agencies to identify when there is availability on their vehicles for our clients.	<input type="checkbox"/>	<input type="checkbox"/>
Purchase rides for our clients on other services	<input type="checkbox"/>	<input type="checkbox"/>
Sell rides on our service to other agencies	<input type="checkbox"/>	<input type="checkbox"/>

- 3. Do you have a contingency plan in place with another transportation provider to assure the delivery of transit services when there are insufficient vehicles or drivers? Explain.**

- 4. Is any part of your service subcontracted to another agency? Explain.**

- 5. Describe any special efforts made to provide information about your service to human service agencies, the One Stop Center, or other activity centers.**

--

- 6. What human service agencies, employment/training programs, or other transportation providers have you met with in the last year to discuss transit service coordination? Explain the outcomes.**

--

F. FINANCIAL AND MANAGERIAL CAPABILITY

Applicants should demonstrate the financial and managerial capacity to meet ADOT Section 5310 program guidelines. A variety of questions are identified for different aspects of management and operations.

Budget.

1. Please discuss the availability of necessary matching funds for the capital purchase. In part 3 of the application, identify the source of those funds.

2. Please discuss the availability of operating funds for the proposed equipment / services over the useful life of the equipment. A statement affirming the availability of operating funds is a required attachment. In Part 3 of the application, identify the source of operating funds.

3. Who will prepare and monitor the transportation budget?

4. Does your organization presently conduct an annual audit?

☐ Yes ☐ No

If yes, is the audit required to meet the requirements of the Office of Management and Budgeting A-133 audits for agencies receiving more than \$300,000 in federal funds?

☐ Yes ☐ No

5. How much in federal funds does your agency anticipate receiving in FY 2006/2007 for all programs (not just transportation)?

Program Management.

6. Describe your organization's experience in managing programs that include Federal funds and the related requirements.

7. How do you ensure that the community is aware of your intent to apply for Section 5310 funding?

Civil Rights / Title VI

8. Provide information about any complaints, lawsuits, allegations or legal actions that have been filed against your agency in the last two years? Explain the nature of the complaint(s) and how/whether these were resolved:

9. Does your agency have an Equal Employment Opportunity Policy?

☐ Yes ☐ No

10. What means are used by your agency to ensure that hiring, terminating, promoting, demoting and other employee actions are accomplished within Civil Rights Title VI requirements?

11. What means are used to communicate job openings and other information pertinent to minorities seeking employment?

12. What methods do you use to insure that all members of the community, regardless of race or ethnicity, are made aware of your program's services?

Maintenance and Vehicle Use.

13. Describe your vehicle maintenance plan. How often is preventive maintenance performed? (i.e., crankcase and transmission oil changes, tune ups, etc.)

14. What maintenance services are provided in-house and what are provided through contracts?

15. How do you keep track of vehicles' maintenance history? Who reviews repair and expense records? Where are maintenance files kept?

16. Where are repairs to wheelchair lifts made and how do you assure that an accessible vehicle is always available for service during the repairs?

17. Are there established policies or guidelines regarding use of vehicles, loan of vehicles, sign out of vehicles, accident reporting, etc? (please include copy of policies and description of vehicle repair and maintenance procedures)

G. SAFETY & TRAINING PROGRAMS

Applicants should describe the training policies, programs and other features of their operation that promote safety.

1. What driver training courses are required for new full-time drivers, hires and as refresher training? How are the courses generally provided?

Training Course	Check if required for employees who drive full-time	Check if required for employees who drive clients as part of their duties	Check if required for volunteers	Class provided in last year? (YES / NO)	How was the training provided? (In-house, RTAP, Other)
Defensive Driving	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
First Aid	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
CPR	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Accident Reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Emergency Response / Crisis Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Passenger assistance training* (e.g., wheelchair securement, sensitivity training, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Other? Specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

*The current ADOT-sponsored training is termed Passenger Service & Safety Training (PASS)

2. Describe how the ADA training requirements are included in your training program.

3. Please describe your agency's practices and policies on each of the following facets of the ADA.

Do you have a written policy or procedure?

a. Describe procedures to ensure that accessible features on vehicles and in facilities are maintained at all times. Include a description of repair procedures. Do repair facilities exist in your service area qualified to fix wheelchair lifts or other accessible equipment?

☐ Yes ☐ No

b. Procedures to ensure lift vehicle availability

☐ Yes ☐ No

c. Describe lift and securement use policies. ☐ Yes ☐ No

d. Policies and procedures on service animals ☐ Yes ☐ No

e. Service to persons using respirators (provided? policy?) ☐ Yes ☐ No

f. Vehicle emergency identification mechanisms (ADA) ☐ Yes ☐ No

g. Announcements on vehicles (where applicable) ☐ Yes ☐ No

h. Public information / communication regarding program ☐ Yes ☐ No

3. Describe your agency's risk management policy in case of an accident, liability claim, or legal action?

4. Describe your system's accident history in the last year. List the number and type of "major"* accidents. For any accidents that occurred, describe if there was property damage or injuries and identify if they were preventable or non-preventable. For any preventable accidents, what action did the system take?

** Over \$1,000 damage and/or involving hospitalized injury or death.*

5. What provisions has your agency made for assuring a safe and drug and alcohol free work environment?

a. Does your agency have a drug-free workplace policy? ☐ Yes ☐ No
Please describe key features for employees and volunteers.

b. Does your agency provide training for safety-sensitive employees? ☐ Yes ☐ No

c. Does your agency conduct drug testing for employees and volunteers? ☐ Yes ☐ No

d. What security policies or procedures do you have to ensure against or minimize threats of violence on passengers and employees, or to reduce the threat of other unsolicited intrusions in your transportation program? Please describe.

APPLICATION PART 3: BUDGET*(Attach any support documents/materials following Part 3)***INTRODUCTION**

This section includes budget information for the capital equipment and for operating the equipment over the useful life of the vehicle.

The cost of the vehicles anticipated to be purchased this year is listed below. Remember that these costs are estimates only. Applicants are requested to budget slightly more so funds are available if costs come in higher. Nominal registration and inspection fees will also be added to this figure. Costs for radios or other ancillary equipment will add to the costs.

Type of Vehicle	Estimated Total Cost	Estimated Local Expenses		
		Matching Funds (20%)	Administrative Fees (2.5%)	Total Local Expense
Lift-equipped "Maxivan" van	\$42,000	\$8,400	\$1,050	\$9,450
Lift-equipped "Cutaway"	\$45,000	\$9,000	\$1,125	\$10,125
12 Passenger Maxivan (no lift)	\$23,000	\$4,600	\$575	\$5,175
6-7 Passenger Minivan (no lift or ramp)	\$21,500	\$4,300	\$538	\$4,838

In the Agency Capital Request table on the following page, please indicate the number and type of vehicles or other equipment requested, the agency capital budget, and the source of local matching funds/fees. For equipment not on the above list, please supply an estimated cost and attach support documentation describing the item in detail. While ADOT cannot commit to purchasing items not on the above list, additional items will be considered on a case-by-case basis.

In the Agency Operating Budget table on the following page, please identify the agency's operating budget for its transportation program and the source of local matching funds.

Agency Capital Request and Budget

Type of Equipment	Cost Each	Quantity	Total Cost	Total Local Expenses (22.5%)
Lift-equipped "Maxivan" van	\$42,000			
Lift-equipped "Cutaway"	\$45,000			
12 Passenger Maxivan (no lift)	\$23,000			
6-7 Passenger Minivan (no lift or ramp)	\$21,500			
Other items and their cost				
Total			\$ 0.	\$ 0.

Please identify the anticipated sources of the local matching funds. If LTAF II funds are used as a local match, please identify this and the jurisdiction providing the funds:

Source	Amount
Total	\$ 0.

Please identify, as accurately as possible your anticipated annual operating budget. A list is provided on the following page that identifies costs to be considered.

Year	Amount	Sources of Funding
Year One		
Year Two		
Year Three		
Year Four		

Comments:

Worksheet for Calculating Annual Operating Cost For Vehicle

Items *to be considered* when determining operating cost. This page does not need to be submitted with your application – it is provided to assist in identifying total operating expenses for the previous page.

Driver(s), ____ hours per week	\$
Other Staff, ____ hours per week	\$
F.I.C.A.	\$
State Tax	\$
Vehicle Insurance	\$
Gas and oil, miles per year	\$
Repair and Maintenance	\$
Vehicle License	\$
Indirect Administrative Costs	\$
Other	\$ _____
TOTAL:	\$ _____

APPLICATION PART 4: FEDERAL CERTIFICATES AND ASSURANCES AND OTHER FORMS

The following documents are to be submitted with your application. Some of the documents include sample forms, as indicated.

This section contains federal certifications and assurances, forms required by ADOT Public Transportation Division, samples of notices which need to be completed and submitted as shown, and worksheets.

In addition, this Application requests that applicants provide documentation (Letters of Support from other entities, Article of Incorporation, etc.) as listed in the Application Checklist at the beginning of the application package.

The following forms must be included with applications for Section 5310 funding.

- ☐ Assurance of Authority of Applicant and it's Representatives
- ☐ General Assurances
- ☐ Certification for Civil Rights Complaint Status
- ☐ Drug-Free Workplace Act Certification
- ☐ Certificate of Compliance with Manufacturer's Maintenance Schedule

Other forms and information are provided for the applicant's use in preparing their application. They follow the forms listed above.

- Sample of Public Notice
- Sample Language for Notice of Public Hearing (public agency applicants only)
- Sample Notification Letter to Other Providers
- Passenger Trip Calculation Worksheet

ASSURANCE OF AUTHORITY OF THE APPLICANT AND ITS REPRESENTATIVE

For (Name of Applicant): _____

The authorized representative of the Applicant and the attorney who sign these certifications, assurances, and agreements affirm that both the Applicant and its authorized representative have adequate authority under applicable state and local law and the Applicant's by-laws or internal rules to:

- (1) Execute and file the application for Federal assistance on behalf of the Applicant;
- (2) Execute and file the required certifications, assurances, and agreements on behalf of the Applicant binding the Applicant; and
- (3) Execute grant agreements and cooperative agreements with FTA on behalf of the Applicant.

Signature _____

Date: _____

Name _____

Authorized Representative of Applicant Title

I further affirm to the Applicant that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these certifications and assurances, or of the performance of the project.

Signature _____

Date: _____

Name _____

Attorney for Applicant

Each Applicant for FTA financial assistance (except 49 U.S.C. 5312(b) assistance) and each FTA Grantee with an active capital or formula project must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its signature in lieu of the Attorney's signature, provided the Applicant has on file this Affirmation, signed by the attorney and dated this Federal fiscal year.

GENERAL ASSURANCES

We the governing body of _____

in approving the submission of the attached application, certify that the APPLICANT has the legal authority and is willing to make as part of the contract between the State of Arizona and the APPLICANT for Federal Transit Administration Section 5310 financial assistance, the following assurances:

- A. The APPLICANT is a private non-profit organization incorporated in the State of Arizona, a Tribal government or related Tribal community, or that it is a public body which has been designated as an eligible Section 5310 recipient.
- B. The APPLICANT has the requisite fiscal, managerial, and legal capability to carry out the Section 5310 project described herein and to receive and disburse Federal funds.
- C. The APPLICANT has, or will have prior to delivery, sufficient funds to provide the local match for the equipment purchased under this contract and to operate the vehicles or equipment purchased under this project.
- D. The APPLICANT assures affirmative compliance with Title VI of the Civil Rights Act of 1964 – Nondiscrimination in the Provision of Service (FTA C 4702.1; FTA C 9040.1E; and FTA C 9070.1E).
- E. The transportation needs of elderly persons and persons with disabilities have or will be addressed by the APPLICANT, pursuant to the requirements of Section 504 of the Rehabilitation Act of 1973 (29 USC 794).
- F. The APPLICANT has demonstrated and will continue to demonstrate efforts to achieve coordination with other transportation providers, including social service agencies capable of purchasing service.
- G. Private transit and paratransit operators have been afforded a fair and timely opportunity to participate to the maximum extent feasible in the provision of the proposed transportation services by the APPLICANT.
- I. The APPLICANT has demonstrated and will continue to demonstrate efforts to achieve coordination with other transportation providers and users, including social service agencies capable of purchasing service.
- K. The APPLICANT assures that it will comply with applicable provisions of the Americans with Disabilities Act (ADA), otherwise known as Public Law No. 101-336 and applicable provisions of 49 CFR Parts 27, 37 and 38: Transportation for Individuals with Disabilities; Final Rule.
- L. The Applicant assures that it will comply with all applicable Federal statutes and regulations in carrying out any project supported by an FTA grant or cooperative agreement. The Applicant agrees that it is under a continuing obligation to comply with the terms and conditions of the grant agreement or cooperative agreement issued for its project with FTA. The Applicant recognizes that Federal laws and regulations may be

modified from time to time and those modifications may affect project implementation. The Applicant understands that Presidential executive orders and Federal directives, including Federal policies and program guidance may be issued concerning matters affecting the Applicant or its project. The Applicant agrees that the most recent Federal laws, regulations, and directives will apply to the project, unless FTA issues a written determination otherwise.

Signature: _____

Date: _____

Title of
Authorized Official: _____

CERTIFICATION FOR CIVIL RIGHTS COMPLAINT STATUS

_____ I hereby certify that our organization does NOT have any pending Title VI (Civil Rights) complaints of discrimination filed against its transit program.

_____ I hereby certify that our organization DOES have _____ (number) pending Title VI (Civil Rights) complaints of discrimination filed against its transit program. This complaint(s), and its status, is briefly described below. The agency agrees it will keep the Arizona Department of Transportation's Transit Unit informed of any changes in the status of that complaint(s).

To comply with the Civil Rights Act of 1964, Title VI, the Americans with Disabilities Act of 1990, Title II, and the Vocational Rehabilitation Act of 1973, Section 504, we do not discriminate on the basis of disability, race, color, national origin, or gender.

Signature

Title

Printed Name

Date

Agency Name

Drug-Free Workplace Act Certification for a Public or Private Entity

1. _____ certifies that it will provide a drug-free workplace by:

- a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- b) Establishing an ongoing drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The applicant's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and,
 - (4) The penalties that may be imposed upon employees for drug abuse violations in the workplace;
- c) Making it a requirement that each employee to be engaged in the performance of the grant or cooperative agreement be given a copy of the statement required by paragraph (a);
- d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant or cooperative agreement, the employee will:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- e) Notifying the Federal agency in writing, within ten calendar days after receiving notice under subparagraph (d) (2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every project officer or other designee on whose project activity the convicted employee is working, unless the Federal agency has designated a contact point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant or cooperative agreement.

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who was convicted:
- (1) Taking appropriate personnel action against such a employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency.
- g) The Applicant's headquarters is located at the following address. The addresses of all workplaces maintained by the Applicant are provided on an accompanying list.

Name of Applicant: _____

Address: _____

Signature of Authorized Official_____

Title_____ Date_____

**CERTIFICATE OF COMPLIANCE WITH
MANUFACTURER'S MAINTENANCE SCHEDULE**

THIS IS TO CERTIFY THAT _____
(Agency Name)

An applicant for a grant under provisions of the Elderly Individuals and Individuals with Disabilities Program (49 U.S.C. § 5310 of the Federal Transit Act), agrees to abide by the vehicle manufacturer's schedule of maintenance, as a minimum, during the period this vehicle is operated in conjunction with the Arizona Department of Transportation, or its successor agency.

DATE

AGENCY

NAME: _____
Signature of Authorized Official

SAMPLE OF PUBLIC NOTICE

*The following is a sample of a public notice to be published once in a newspaper of general circulation in the community in which the service is to be offered. Your notice must include the ADA provision as stated, or use essentially similar language to that noted below. The notice must be published sufficiently in advance to allow at least a 15-day response period for affected transportation providers within the applicant's service area, prior to the applicant's submittal of its application to the COG/MPO. **A copy of this notice is to be included with your application.** (In some areas the COG/MPO places the public notice for all interested agencies. Check with your COG before placing your notice and be sure to include a copy of the notice even if placed by the COG/MPO.)*

PUBLIC NOTICE

This is to notify all interested parties that Community Service Organization, Inc., is applying for an accessible van-type vehicle under the Elderly and Persons with Disabilities Program (49 U.S.C. § 5310, formerly Section 16 of the Federal Transit Act, ISTEA- 1991). The vehicle will be used to transport those elderly and disabled persons in the area of Somewhere Arizona, on a fixed route or demand responsive basis, at least 5 days per week and up to 24 hours per day.

Pursuant to the Americans with Disabilities Act (ADA) of 1990, this notice additionally serves to inform interested parties that request may be made of the applicant for accommodation of "special needs" for a person(s) with a disability(s) to have maximum feasible opportunity for physical and information access to and regarding the above proposed project.

Anyone wishing to comment on this application should do so by _____, 20__, to Community Service Organization, 123 Saguaro Blvd., Somewhere, Arizona 85000. Any public or private transit or paratransit operator wishing to provide an equivalent service to that proposed above should submit to the above named agency within 30 days, a written proposal detailing the service that operator would provide.

Published: ARIZONA LEDGER, _____, 20__

Required of Public Agency applicants only

SAMPLE LANGUAGE FOR NOTICE OF PUBLIC HEARING

NOTICE OF PUBLIC HEARING

Notice is hereby given that a public hearing will be held by (applicant) at (address of hearing location) at (time and date) for the purpose of considering a project for which financial assistance is being sought from the U.S. Department of Transportation. Grant funds will be used to (describe project, including location, items to be purchased, etc.).

At the hearing, (applicant) will afford an opportunity for interested persons or agencies to be heard with respect to the social, economic and environmental aspects of the project. Interested persons may submit oral or written evidence and recommendations with respect to said project.

A copy of the grant proposal is currently available for public inspection at (location).

Applicant's Authorized Representative

SAMPLE LETTER OF NOTIFICATION TO OTHER PROVIDERS

APPLIES TO RURAL APPLICANTS ONLY (CAAG, SEAGO, WACOG, NACOG REGIONS)

The following is a sample notification letter to be sent to every public and private transportation service agency/business in your service area. This letter supplements the public hearing notice and does not replace it. **Maricopa and Pima county applicants are exempt from sending this letter as MAG and PAG are responsible for notification requirements.**

(Use your letterhead)

S A M P L E

Dear _____:

This is to notify you that _____ **(your agency)** is applying for financial assistance under the ADOT Elderly Individuals and Individuals with Disabilities Program authorized under 49 U.S.C. Section 5310 for capital assistance. **(Your agency)** has requested

(Give a brief but complete description of the equipment your agency has requested and what it will be used for. Include: 1. The Service Area; 2. Days and Hours of Operation; 4. Fare Schedule, if any. Attach more detailed information, if appropriate.)

The purpose of this letter is to advise you of our application and to insure that this proposal would not represent a duplication of your service. Private and public transit and paratransit operators may receive reimbursement funds through purchase of service agreements. Therefore, we solicit your involvement in our proposed service.

I ask that you contact this office in writing within 10 days if you believe that you can provide all or a part of this service or if you have specific objections to the proposed project. In your letter you should state your specific objections or counter proposal. If you support the application, please complete the enclosed sign-off letter and return it to this office.

Our address is: **(your address)**

Also, please send a copy of your letter to the Arizona Department of Transportation, which is the funding agency for the Rural Public Transportation Program. Their address is:

Arizona Department of Transportation
206 South 17th Avenue, Room 340 B
Phoenix, Arizona 85007

Should you desire any additional information on the proposed service, please contact me at _____.

Sincerely,

PASSENGER TRIP CALCULATION WORKSHEET

This worksheet explains the way passenger trips are calculated for the Section 5310 program. Use the following formulas as a guideline in calculating passenger trip numbers for the application.

Note: 1 passenger “trip” is a one-way boarding and deboarding of a passenger on a vehicle, discounting *incidental* stops such as a one minute letter drop off of a letter as part of a “larger” (primary purpose) trip. Two options are provided for some of the calculations.

Trip Examples:

- ☐ 4 people board a van at a local senior center and then get off (deboard) at the local grocery store. This routing counts as 4 passenger trips. The van is idle until it picks up the same (grocery) people later and returns them to the senior center. This return route counts as an additional 4 trips. *This van has provided 8 one-way trips that day for 4 individuals.*
- ☐ 1 person boards a van and is taken to the doctor. This counts as 1 trip. While “waiting” for this person’s one-hour appointment, the driver picks up 3 additional people at the adjacent clinic and takes them to the senior center. Add 3 trips. The driver returns to pick up the person visiting the doctor and returns her to the senior center. Add 1 trip. *This vehicle has provided 5 one-way passenger trips for 4 individuals. Three people each made one one-way trip and one person made two one-way trips.*
- ☐ 10 people are picked up at the agency’s rehabilitation center in the morning and taken on a driving field trip where the only stop is a brief restroom break. The van returns these 10 individuals to the center later in the day. *20 one-way passenger trips were made by the van this day.*

Daily and Weekly Trips (Use either method)	(1) Average number of people riding each day	times	Average number of trips each person makes in a day	Equals	Average daily ridership	Times five days equals	Average weekly one-way ridership
		x		=		X 5 =	
	(2) Average number of people riding each week	times	Average number of trips each person makes each week	Equals	Average weekly one-way ridership		
		x		=			
Annual Trips	Average weekly one-way ridership		Times 50 weeks	Equals	Average annual one-way ridership		
			x 50	=			
Annual Service Miles	Average number of miles vehicles will travel daily with passengers onboard	times	Five days weekly	Equals	Times 50 weeks per year	Equals	Annual service miles
		x	5	=	x 50	=	

Appendix A: Federal Program

Management References

Following is a list of references to federal laws, regulations, and procedures that guide the Section 5310 Program, as excerpted from 49 U.S. C. § 5310 and FTA Circular 9070.1E, October 1, 1998, (Section 5310 program guidance) as well as revisions such as new (2003) Agreement documents >. Implied—but not stated in every instance—within each document listed below is the status “as amended” Program guidance occurs in many forms (e.g., Circulars, Letters from the Director (or others), new Executive Orders, alerts, etc.) but only the basic foundation documents are listed below. Items 1-4, in particular, supercede any Agreements by the same (or equal) name from previous years.

1. FTA Master Agreement 2003 (FTA MA (8) October 1, 2002)
2. FTA Grant Agreement (FTA G-9), October 1, 2002.
3. FTA Supplemental Agreement (to FTA G-9), October 1, 2002.
4. FTA Cooperative Agreement (FTA C-9), October 1, 2002.
5. Federal transit laws, 49 U.S.C. §§ 5301 et seq. (also, 49 U. S.C. Chapter 53).
6. Federal highway and surface transportation laws, Title 23, United States Code (Highways)
7. Transportation Equity Act for the 21st Century, Pub. L. No. 105-178 (1998)
8. Intermodal Surface Transportation Efficiency Act of 1991, Pub. L. No. 102-240 (1991).
9. Americans With Disabilities Act of 1990, as amended, 42 U.S.C. §§ 12101 et seq.
10. Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794.
11. Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000d.
12. Clean Air Act, as amended, 42 U.S.C. §§ 7401 et seq. and scattered sections of 29 U.S.C.
13. Lobbying Restrictions, 31 U.S.C. § 1352.
14. Congressional Declaration of Policy Respecting Insular Areas, 48 U.S.C. § 1469a.
15. Executive Order No. 11246, “Equal Employment Opportunity,” as amended by Executive Order No. 11375, “Amending Executive Order 11246 Relating to Equal Employment Opportunity,” 42 U.S.C. § 2000 (e).
16. Department of Transportation (U.S. DOT) regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 C.F.R. Part 18.
17. DOT regulations, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations,” 49 C.F.R. Part 19.
18. DOT regulations, “New Restrictions on Lobbying,” 49 C.F.R. Part 20, modified as necessary by section 10(b) of the Lobbying Disclosure Act of 1995 (which amends 31 U.S.C. § 1352).
19. DOT regulations, “Participation of Minority Business Enterprises in Department of Transportation Programs,” 49 C.F.R. Part 23.

20. DOT regulations, "Nondiscrimination on the basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," 49 C.F.R. Part 27.
21. DOT regulations, "Drug-Free Workplace Requirements (Grants)," 49 C.F.R. Part 29, subpart F.
22. DOT regulations, "Transportation Services for Individuals with Disabilities (ADA)," 49 C.F.R. Part 37.
23. DOT regulations, "Americans With Disabilities Act (ADA) Accessibility Specifications for Transportation Vehicles," 49 C.F.R. Part 38.
24. FTA regulations, "Capital Leases," 49 C.F.R. Part 639.
25. FTA regulations, "Buy America Requirements," 49 C.F.R. Part 661
26. FTA regulations, "Pre-Award and Post-Delivery Audits of Rolling Stock Purchases," 49 C.F.R. Part 663.
27. FTA regulations, "Bus Testing," 49 C.F.R. Part 665.
28. Joint Federal Highway Administration/FTA regulations, "Planning Assistance and Standards," 23 C.F.R. Part 450 and 49 C.F.R. Part 613.
29. Department of Treasury regulations, "Rules and Procedures for Funds Transfers," 31 C.F.R. Part 205
30. Office of Management and Budget (OMB) Circular A-87, "Cost Principles for State and Local Governments."
31. OMB Circular A-122, Revised, "Cost Principles for Non-Profit Organizations," 6-1-98
32. OMB Circular A-133, Revised, "Audits of States, Local Governments, and Non-Profit Organizations."
33. Government Services Administration (GSA), "Catalog of Federal Domestic Assistance."
34. FTA Circular 4220.1E, "Third Party Contracting Requirements," dated 4-2005.
35. FTA Circular 5010.1B, "Grant Management Guidelines," dated 10-01-98.
36. FTA "Best Practices Procurement Manual," 10-25-96.
37. GSA, "Lists of Parties Excluded from Federal Procurement and Non-procurement Programs."